DOCUMENT RESUME

ED 116 519 HE 006 843

AUTHOR Parekh, Satish B.
TITLE A Long Range Planning Model for Colleges and Universities.
INSTITUTION Phelps-Stokes Fund, New York, N.Y.
PUB DATE 75
NOTE 85p.
AVAILABLE FROM Phelps-Stokes Fund, 10 East 87th Street, New York, New York 10028 ($5.00)

EDRS PRICE MF-$0.76 Plus Postage. HC Not Available from EDRS.
DESCRIPTORS Administrator Guides; Consortia; *Higher Education; *Management; *Models; *Objectives; Operations Research; Organization; Organizational Change; Organizational Development; Organizational Effectiveness; Organizational Theories; *Planning; Program Planning

ABSTRACT

The Long Range Planning/Comprehensive Management Systems (LRP/CMS) program is an outgrowth of a consortium of 42 developing higher education institutions. The monograph is the result of a decade of experimentation and experience of the members of this group. As such, it is designed to present a detailed long range planning model which incorporates the unique features of educational institutions. The model attempts to offer a step-by-step series of understandable, well coordinated, quantitative targets that would give meaning to an institution's daily operations; and to translate a generic concept into a meaningful series of planned tasks for everyone within the institution. This planning model attempts to identify that process and provides a methodology that an institution can employ to implement these tasks. (JMF)

****
* Documents acquired by ERIC include many informal unpublished *
* materials not available from other sources. ERIC makes every effort *
* to obtain the best copy available. Nevertheless, items of marginal *
* reproducibility are often encountered and this affects the quality *
* of the microfiche and hardcopy reproductions ERIC makes available *
* via the ERIC Document Reproduction Service (EDRS). EDRS is not *
* responsible for the quality of the original document. Reproductions *
* supplied by EDRS are the best that can be made from the original. *
****

ED116519

A LONG RANGE PLANNING MODEL FOR COLLEGES AND UNIVERSITIES

SATISH B. PAREKH, Ph.D.
Senior Director

"PERMISSION TO REPRODUCE THIS COPYRIGHTED MATERIAL BY MICRO FICHE ONLY HAS BEEN GRANTED BY
Phelps-Stokes Fund
TO ERIC AND ORGANIZATIONS OPERATING UNDER AGREEMENTS WITH THE NATIONAL INSTITUTE OF EDUCATION. FURTHER REPRODUCTION OUTSIDE THE ERIC SYSTEM REQUIRES PERMISSION OF THE COPYRIGHT OWNER."

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION
THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

A PROJECT OF THE PHELPS-STOKES FUND

Permission to quote from or reproduce any part of this work must be secured from the Phelps-Stokes Fund
10 East 87th Street, New York, New York, 10028

1975

HE 006 843

Other publication by the author:

MANAGEMENT SYSTEMS INVENTORY

COPYRIGHT © 1975 BY SATISH B. PAREKH

ALL RIGHTS RESERVED

LIBRARY OF CONGRESS CATALOG CARD NUMBER: 75–4258

PRINTED IN THE UNITED STATES OF AMERICA

First Printing February 19, 1975
Second Printing April 4, 1975

TABLE OF CONTENTS

Page

ACKNOWLEDGEMENTS 1

FOREWORD 2

I

INTRODUCTION 10

II

MISSION 15

III

GOALS 20

IV

RESPONSIBILITIES 23

V

ACTIVITIES 27

VI

RESOURCE PLAN 32

VII

EVALUATION 37

VIII

CONCLUSION 41

ACKNOWLEDGEMENTS

Maria D. Gadsden: For her constant support and encouragement; her insights into the many facets of higher education and her dedication to its purpose; and writing the foreword to this monograph.

A. Michele Taylor: For her constant assistance in the development and publication of this monograph; specifically assistance in translating matrix concepts into graphics, incorporating definitions for elements of matrices and cross-referencing those with the U. S. Office of Education criteria, developing instructions for the data inputs for matrices by the colleges, critiquing the document to enhance its readability, and "bird-dogging" the details required for getting the publication out within a tight time frame.

George Stokes, Jr.: For making valuable inputs in the effort to assist colleges in implementing the model.

Jo Ann Strowder: For cheerfully assuming the responsibilities for the chores of composing, typing, retyping, proofreading and duplicating.

Nalin P. Bhatt: For his valuable suggestions in the graphic design for the cover.

FOREWORD

The crisis of survival faced by U.S. institutions providing college and university education to students in the 70's is the current preoccupation of most professionals engaged in higher education in our country. Indicative of the desperation and anxiety is a February 10 headline in the Boston Globe: "Money-pinched American Colleges offering Know-How for Arab dollars." The very headline underscores the tremendous change in the post-secondary educational milieu of the U.S.A. in the second half of the Twentieth Century as compared with the milieu of the first half of this century. Most educational theories and practices propounded before World War II seem very remote and irrelevant to the educational planner in the 1970's. With the conviction that education could be a major force in social, economic,political and cultural change, educational planners confronted the task of planning and implementing educational systems for emerging and developing countries in Asia, Africa and the Caribbean in the 1950's. Few of these theorists, administrators and professors had any experience with systems very different from their own traditional

operations. As Beeby remarks, "the greatest leap our thinking had had to take was between the traditional schools of Western Europe and the 'progressive' schools in the U.S." Few educators knew or concerned themselves that half the world was illiterate. This shocking discovery was one of the ironic by-products of the second World War. Its global demands for basic skills and for sophisticated technology had forced into sharp focus the ignorance and illiteracy of many peoples. Accompanying the demands for planning education for emerging nations was the overwhelming complex of problems which with equal force faced the "developed" nations within their own boundaries. The stupendous problem of the numbers of students resulting from the post-war population explosion, growing demands for universal secondary and higher education, Sputnik and nuclear science which forced a reassessment in Mathematics, physics and related sciences, the fears of automation, with the spectre of dramatic changes in job distribution, and the rift between the Humanities and the practical sciences. Educators, overwhelmed by these absorbing problems, found themselves generally inadequate to the awesome planning responsibilities. They abdicated their responsibilities by

default. Into the void stepped the economists and business managers, bringing with them a entire body of educational theory that shattered sacred traditions and challenged established systems of education. These challenges led inevitably to the position that education is not merely a form of consumption; it was clearly a major national investment. The weaknesses documented by the demands of the war demonstrated a tragic lack of relationship, relevance and consistency between the traditional educational system and the economics, cultural and civic community the systems purported to serve. The economists' basic gift to the educator's craft was a new economic respectability.

With this new status and respectability, however, came significant elements of disenchantment. Educational thinking and planning had been ad hoc and individual. Manpower needs of the nation and economic health of the country were not the concerns of our educational systems. Overproduction, underproduction, wastage of student potential were not basic issues to the planning. The economists however, injected these issues and appeared to be better equipped to deal with the situation than the educators. Their influence shifted the educational focus to measurements, to analyses

of effectiveness and of efficiency, to accountability and to elements that they could quantify. Less measurable skills (e.g. creativity, initiative, industry, constructive attitudes) were relegated to the background. Such new questions as "Is education good, if it fails to serve the economic and social goals of the community?" were raised.

It was in this era of ferment, disarray, and indecision, that colleges categorized as "developing" in the context of U.S. higher education began to take stock of their resources - human and material. Under the initiative of the Phelps-Scokes Fund, fifteen of these institutions accepted the challenge to institute Development operations. From the outset, these operations were modelled on a theory of centralization, coordination and cooperation. Though the cooperative consortium was novel, the basic elements of centralization, coordination and cooperation had been traditionally the survival characteristics of the "developing" or historically Black institutions. Small, impoverished, crises-ridden, these institutions had to make their budgets stretch and had to be imaginative, resourceful and accountable to survive. The really central contribution to higher education by this disadvantaged community, however,

was that its push for equality of opportunity was the blow which felled the drawbridge crossing the moat to the ivory tower of the castle of elitism in U.S. higher education. The floodgates once opened, the enrollments swelled and the issues, attitudes, approaches of traditional education proved inadequate. The earlier struggle of W.E.B. DuBois to make education an instrument of freedom became central to the educational shift. Planning was the sine qua non for the success of the Development operations. Long range planning (LRP) was merely an extension of this basic planning concept. It took seriously the wisdom of Abraham Lincoln when he asserted that "If we could first know where we are and whither we are tending, we could better judge what to do and how to do it."

The initial Cooperative College Development Program of the Phelps-Stokes Fund expanded until it embraced 42 institutions committed to its development strategies. For nearly a decade administrators and educators of these institutions have analyzed, shared, experimented, and implemented. Many significant achievements resulted where the planning was consistent with the general principles of the development model advocated by this Consortium of institutions

When this consortium arrangement ended, July 1, 1974, it was a most natural, reasonable and fortunate circumstance that the presidents placed priority on long range planning and Comprehensive Management Systems as a future focus for their cooperative efforts.

In this first year of the LRP/CMS cluster, the staff of the Phelps-Stokes Fund is encouraged by the tremendous commitment and the consistent responses to our agency services in LRP/CMS. Recognizing that "it is misplaced emphasis to speak of managing efficiently what one does not clearly understand," our program has initiated a design which begins with the valid and specific definition of institutional mission. Higher education in general lacks a keen sense of purpose; our developing institutions also suffer from the general national malady. As William Jellema rightly argues, "If colleges and universities, public and private, are to prosecute successfully their just case for increased support...they must also be able to demonstrate to their several constituencies that they are efficient fiscal managers." The pillars of efficient management are systematically organized information, careful budgeting and long range planning. But fiscal efficiency is but one side

of the LRP coin. The hard issue is and will continue to be "Can the quality of education be sustained and enhanced on the same budget or on a smaller budget?" There can be no question that non-financial goals must be the academic priority; there is also no question that the fiscal well-being of the institution will have a direct relationship to achieve its academic priorities.

The monograph which is provided here is the outgrowth of the decade of experimentation and experience of the members of staff, the field officers, the consultants and the institutional participants of the various Phelps-Stokes Fund seminars, conferences, workshops, inventories, and site consultations. The general direction, central leadership and creativity has been provided by Dr. Satish B. Parekh the Senior Director for Long Range Planning/Comprehensive Management Systems. It would be wrong, however, to launch such an aid without acknowledging the long line of dedicated people whose talents, ideas, energies and professional training made the culmination of this manuscript possible. All of them cannot be mentioned, however, the names of Frederick Patterson, Herbert Wilson, Robert Griffin, and Blanche Case loom indelibly in our consciousness as we reflect upon the

progress of our programs in this field. Their concerns and the commitments of others like them made possible the milieu in which this publication can be used to support the agency services which have already been provided to those constituents receptive to the concepts we have advocated. We hope that this monograph will be a vital aid to the development and growth of excellent institutional planners and efficient managers of our academic resources - human, monetary and physical.

Washington, D. C.
February 19, 1975

Marie D. Gadsden, Ph.D.
Vice President and
Director Washington
Bureau

I. INTRODUCTION

THE LONG RANGE PLAN

The long range planning model presented in this monograph incorporates a number of very unique features that have only partially been included in institutional planning. The first is its concept. The second is its translation. The third is its applicability to an institution's daily operations. The fourth is its ability, when properly applied, to provide an institution with an information system that parallels dollar expenditures with achievement of those activities that are related to the achievement of the purpose of the institution.

The need for a model originated from the findings of the Management Systems Inventory conducted by the Phelps-Stokes Fund for some 55 colleges and universities throughout the United States. One of the major problems faced by many institutions of higher education is the lack of an operational long range plan. Most of the planning documents that exist are too general to provide leadership and unity of purpose at all levels of college management and consequently,

they seldom become part of day to day life on the campus. It became evident that what was needed was not an eloquent narrative of the institutional future in general terms, but rather a step-by-step series of understandable, well coordinated, quantitative targets that would give meaning to an institutions daily operations. As a result, the Phelps-Stokes Fund devised this model in an attempt to translate a generic concept into a meaningful series of planned tasks for everyone within the institution. This planning model attempts to identify that process and provides a methodology that an institution can employ to implement these tasks.

The concept of LRP includes the following premises:

a) LRP must be a "here and now" document.

b) LRP is not simply a projection of past trends but a crystallization of collective decisions by the institutional community and its constituencies on the direction and destiny of the institution based on its potential within a dynamic environment.

c) LRP must be based on quantitative parameters modified by qualitative considerations.

d) LRP must be specific enough to promote commonality of its meaning to everyone associated with implementing it.

e) LRP must dictate the daily operations of the college and its staff at all levels.

f) LRP must facilitate linking allocation of dollars with achievement of targets rather than performance of routine activities.

g) LRP must be comprehensive enough to include what the total institution hopes to achieve in the areas of:

- Instruction[1]
- Research
- Public Service
- Academic Support
- Student Support
- Institutional Support

The "here and now" long range plan is developed in the following stages:

Mission	1.	What the mission of the institution is identified to be.
Goals	2.	What the mission means in terms of quantitative goals.
Responsibilities	3.	What the goals mean in terms of organizational responsibilities.
Activities	4.	What the responsibilities mean in terms of daily, weekly, monthly and annual activities.
Budget	5.	What the activities mean in terms of resource requirements.

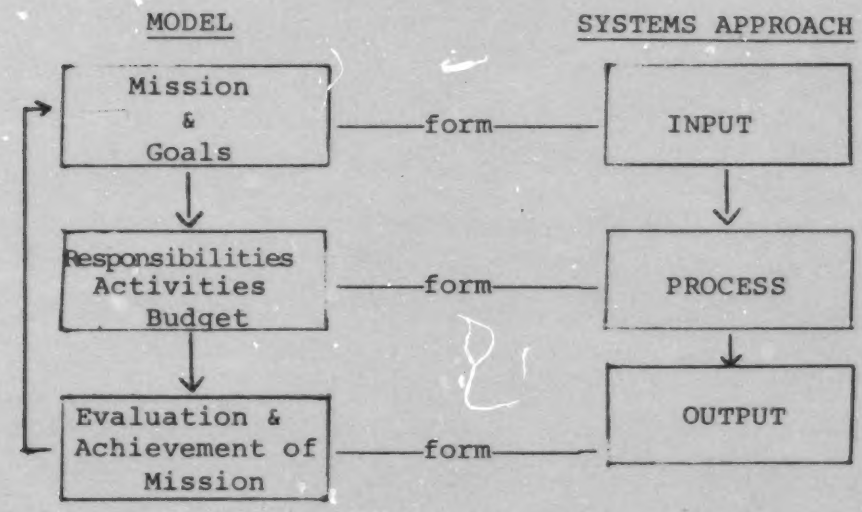
---

[1]This program classification is based on the Western Interstate Commission on Higher Education and the National Center for Higher Education Management Systems literature (WICHE/NCHEMS).

Evaluation 6. What the actual results have been versus the plan.

These stages are summarized in Chart I, located at the end of this section.

Another manner in which to perceive the stages is in the systems context as illustrated in the following diagram.



The first two stages of the long range plan, formulation of mission and goals, constitute the input to planning. These must be developed within the context of environmental assumptions, as well as perceived and potential institutional capabilities. When properly developed, they become the basic foundation from which implementation startegies can emerge.

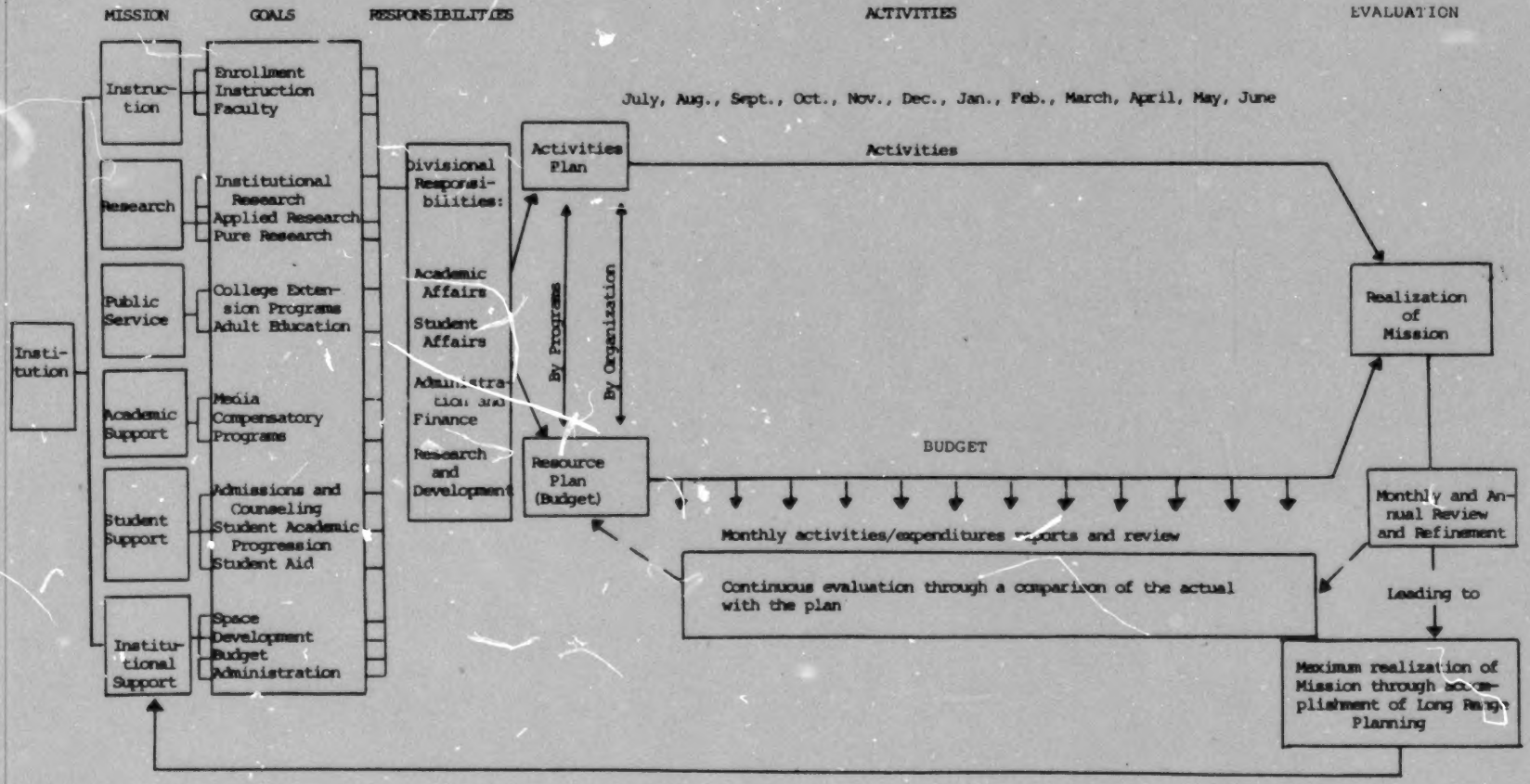
The stages of responsibilities, activities, and budget constitute the process of planning and involve an organizational overlay on the mission and goals of the institution. Goals are translated into responsibilities which are carried out through well-coordinated activities that provide a rationale for allocation of resources.

The final stage of evaluation enables the institution to compare potential, actual results with the plan, permiting corrective actions before rather than after the fact.

The entire model has been developed into a set of simple but comprehensive matrices. This facilitates minimizing verbage and maximizing specificity and quantification, without which the firm link between idea and action becomes a matter of conjecture. Included in this model are matrices for the mission, goals, responsibilities, activities and budget.

The entire model can be lifted out of the monograph for implementation. Matrices are devised so that assumptions about functional relationships between various elements of the plan can be made to determine the impact of change in any one on the others. The matrices are designed to be operational, with or without computer assistance, depending on the size and complexity of an institution. The matrices are provided at the end of each section to further facilitate their utilization by the institution.

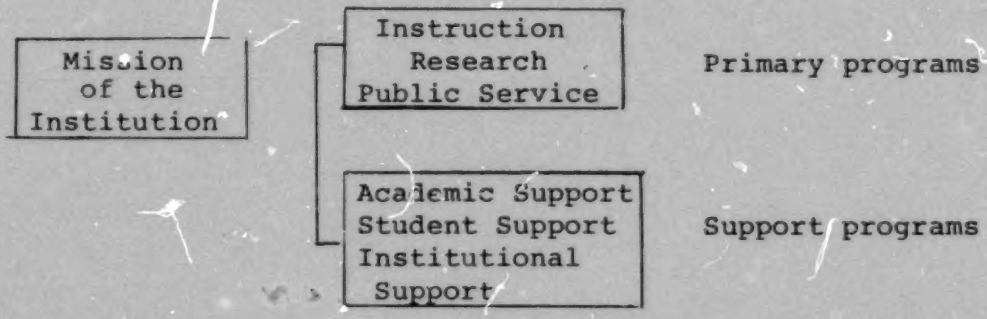
Flow Chart of Phelps-Stokes Fund LONG RANGE PLANNING/COMPREHENSIVE MANAGEMENT SYSTEMS MODEL CHART I



Copyright © Satish B. Parekh 1975

II. MISSION

The mission of an institution is primarily a global statement of its purpose. In order to have operational meaning, it should be translated into the six basic areas that represent the total institution. These are:



The delineation of the institutional mission into major programatic terms gives the institution a mechanism for carefully thinking through the implications of translating its mission into reality over a pre-determined time-frame within its environmental and resource limitations.

Instruction: The catagory of instruction should include mission statements related to:

- academic instruction given for credit
- summer session

Research: The category of research should include mission statements related to:

- institutional research
- pure research
- applied research

Public Service: The category of public service should include mission statements related to:

- community related programs
- organized academic extensions
- continuing education
- agricultural extensions

Academic Support: The category of academic support should include mission statements related to:

- library services
- media and audio-visual programs
- computer support for academic programs
- supplementary educational services and programs

Student Support: The category of student support should include mission statements related to:

- social, cultural and recreational programs
- career guidance and placement

- student financial aid
- student health programs and services

Institutional Support: The category of institutional support should include mission statements related to:

- management and policy formulation
- fiscal affairs
- personnel
- administrative data systems
- admissions and records
- business services
- auxilliary services
- physical facilities

The model permits an institution to review its current mission statement and develop operational mission statements in each of the six areas that reflect what the institution hopes to accomplish over the next five years. The above definitions for development of mission statements are provided as guidelines. Institutions should add categories as needed to each area to reflect their individuality of purpose.

The process of developing operational mission statements, Matrix I, involves the following steps:

1. Take the overall mission narrative in the institutional catalogue and group individual statements that relate to each of the six areas. If there are no statements in the mission that relate to one or more of the six areas, then statements relevant to those area(s) should be developed.

2. After the statements have been grouped, they can be set forth in operational terms. Stating the mission in operational terms means that:

   - the statements in each area should be detailed and specific to the extent that persons reading the statements will interpret them the same way.

   - they should be stated in a way that they can be measured and evaluated quantitatively and qualitatively.

   - they should specify at what point the institution wishes to be in the next five years. Statements should also be written with an eye toward the impact of future changes in higher education. For example, although an institution may now emphasize elementary teacher training, it may realize that within the next five years the demand for elementary teachers may shift to the secondary level. The mission statement then would reflect a decreasing emphasis on elementary teachers and an increasing emphasis on secondary teachers.

To facilitate development of Matrix I, the Institutional Mission Matrix (located at the end of this section), the following example is provided from an actual institutional catalogue.

In its mission statement, University X states for the area of instruction : "Firstly, it is an institution for

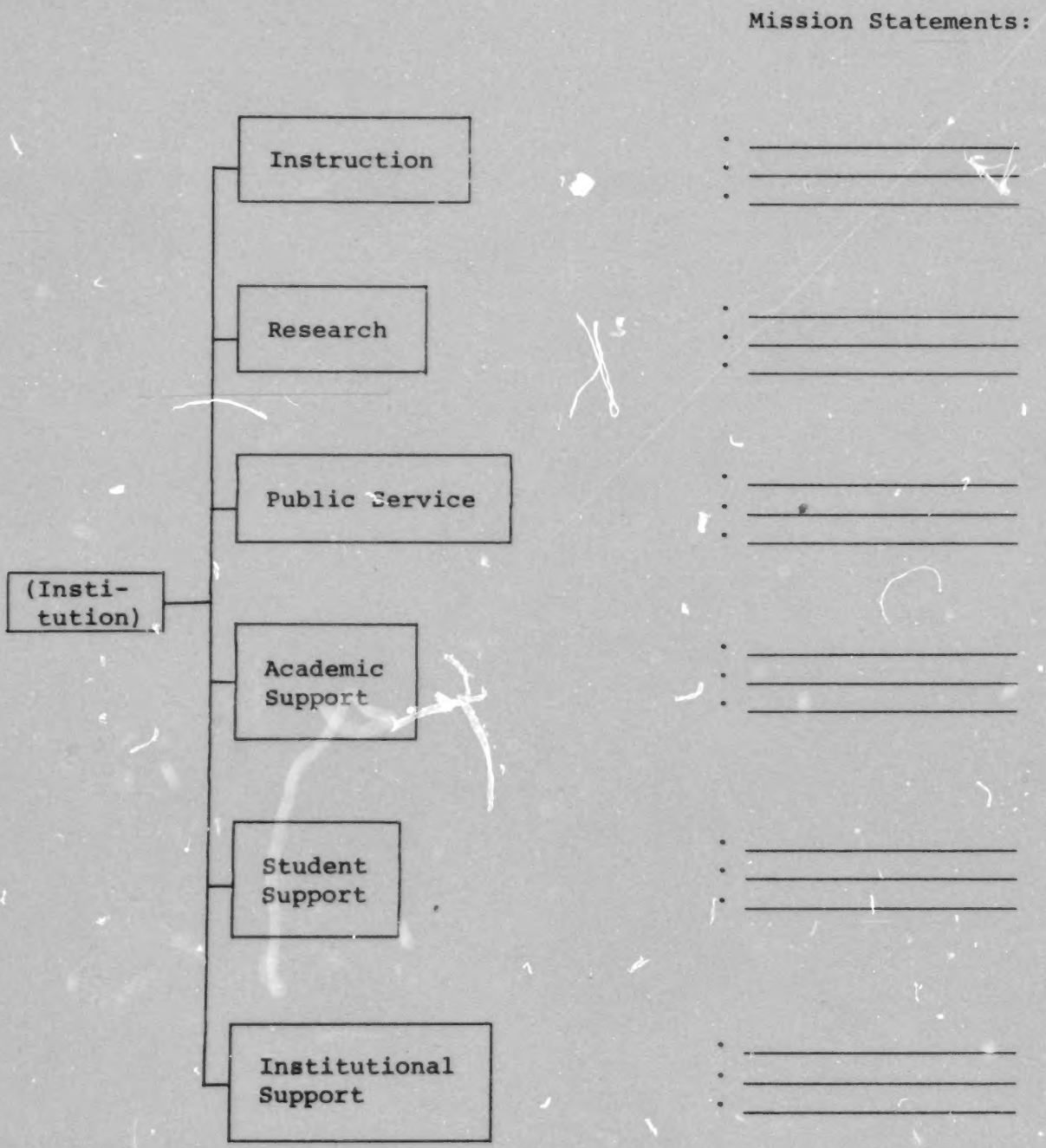
the preparation and training of teachers". It is difficult to translate this mission statement into operational terms unless it is restated as follows:

> Our mission is to train and prepare students for the teaching profession. Toward that end, at the close of five years, we hope to train X number of students at the elementary level and X number of students at the secondary level to qualify for certification through the state teachers examination.

The operationalization of mission statements is designed to promote a commonality of understanding within the institution. To achieve this commonality, mission statements must have depth and specificity. Depth is provided by programmatic applications of the overall mission. Specificity is provided by converting these applications into what they mean in specific terms over a five year period.

Phelps-Stokes Fund

Institutional Mission Matrix I



III. GOALS

Once the mission of the institution has been developed in operational terms for the six program areas (Matrix I), the mission must be translated into quantitative projections over a five year period (Matrix II). These quantitative projections are grouped into the following 11 major goals areas:

- Enrollment
- Instructional Programs
- Faculty
- Media
- Space
- Admissions and Counselling
- Student Academic Progression
- Student Aid
- Development
- Budget
- Administration

In each area, important elements[2] are identified and

---

[2] The elements contained in each area were chosen to include some of the U.S. Office of Education requirements for the Advanced Institutional Development Program under Title III of the Higher Education Act of 1965.

projected for each year over a five year period. The quantitative elements are cross-referenced with each other for realism and consistency and formulate a quantitative profile of the institution indicating the concurrent growth requirements for the accomplishment of its purpose. These elements therefore become targets by which the institution can gauge progress toward mission. The elements (Matrix II) and their definitions are located at the end of this section.

The process of completing Matrix II involves the following steps:

1. Enter data for the current year in each of the 96 elements in column 1.

2. Based on the institutional direction outlined in the six program areas of the mission statement, make projections for each element for the next five years. These projections should be as realistic as possible and represent the year to year changes that would facilitate accomplishment of the five year goals.

The rationale upon which year to year projections are based is very important. They must not only be consistent with the overall institutional mission but consistent with data entered in other elements. Please refer to Matrix II and consider the following example:

Under Enrollment Goals, refer to "Total FTE Enrollment" (box 1, page 1).

> If the FTE enrollment is currently 1,500 and in five years with new construction the institution anticipates being able to accomodate approximately 2,400 students; then figures for the next five years would show a 10% increase in enrollment per year.

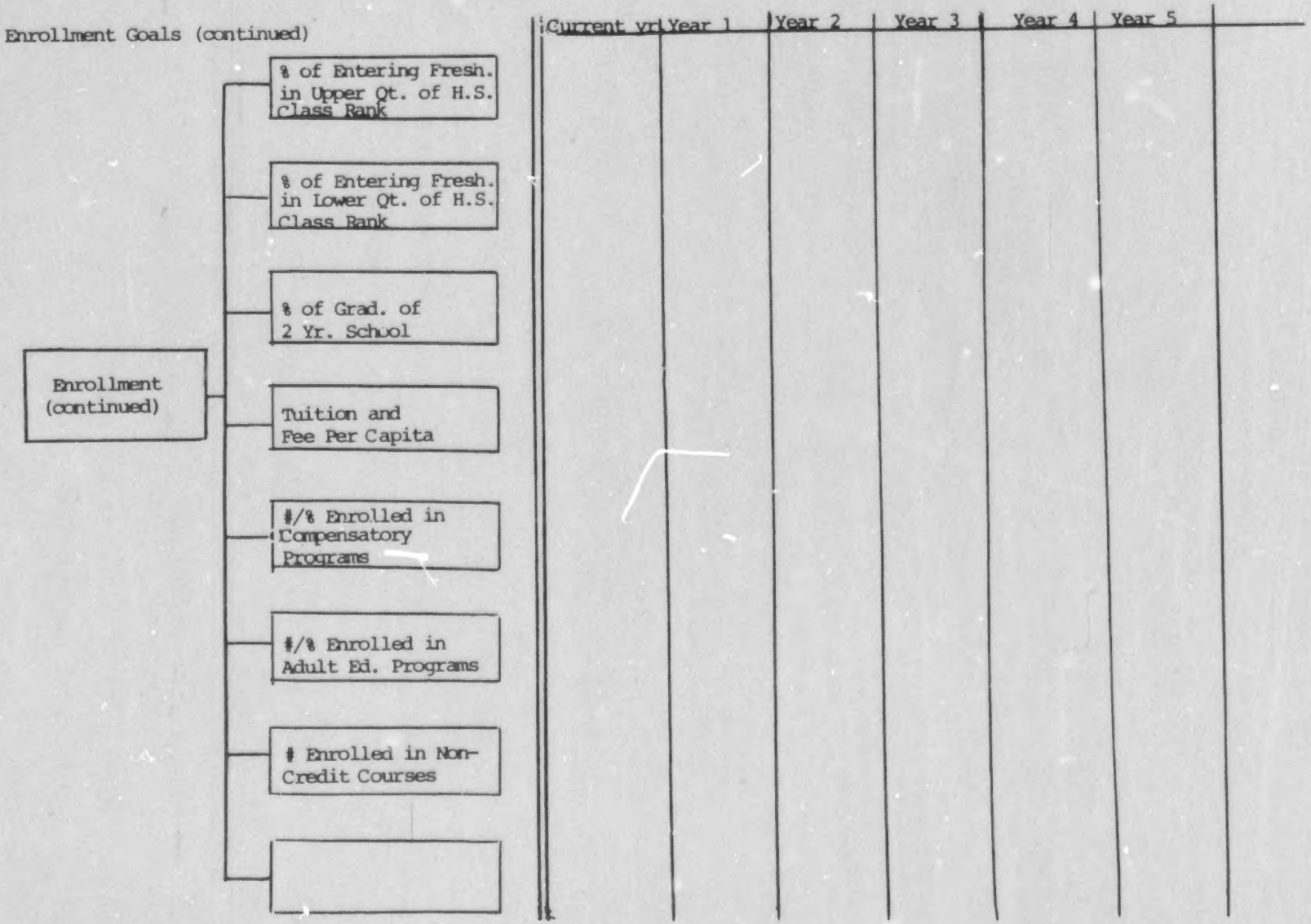
Such a projection would have an impact on faculty, instructional programs, media, admissions and counseling, budget and etc. These impacts should be recognized through appropriate cross-referencing.

The translation of mission into goals crystallizes the future direction of the institution. This process requires participation of the entire institutional community and its constituencies to assure consensus in addition to consistency.

Copyright © Satish B. Parekh 1975

MATRIX II

1. Enrollment Goals (continued)


Enrollment (continued)
% of Entering Fresh. in Upper Qt. of H.S. Class Rank
% of Entering Fresh. in Lower Qt. of H.S. Class Rank
% of Grad. of 2 Yr. School
Tuition and Fee Per Capita
#/% Enrolled in Compensatory Programs
#/% Enrolled in Adult Ed. Programs
Enrolled in Non-Credit Courses
Current yr
Year 1
Year 2
Year 3
Year 4
Year 5

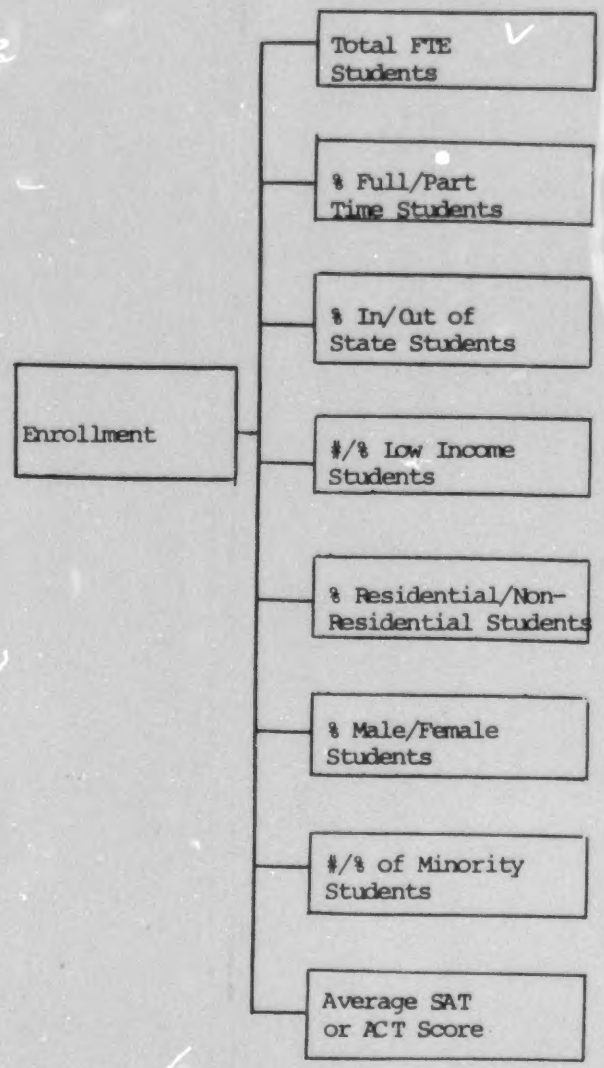
Copyright © Satish B. Parekh 1975

PHELPS-STOKES FUND

Long Range Planning Model

MATRIX II

1. Enrollment Goals

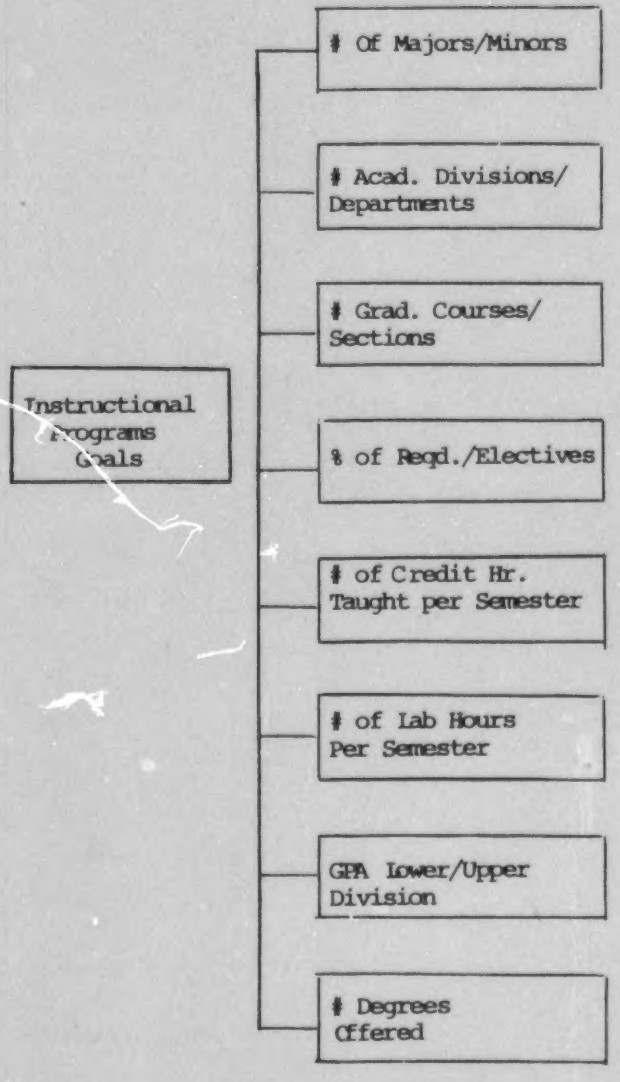


Current Yr	Year 1	Year 2	Year 3	Year 4	Year 5	

Copyright © Satish B. Parekh 1975

MATRIX II

2. Instructional Program Goals


Instructional Programs Goals
Of Majors/Minors
Acad. Divisions/ Departments
Grad. Courses/ Sections
% of Reqd./Electives
# of Credit Hr. Taught per Semester
# of Lab Hours Per Semester
GPA Lower/Upper Division
Degrees Offered

Current Yr	Year 1	Year 2	Year 3	Year 4	Year 5

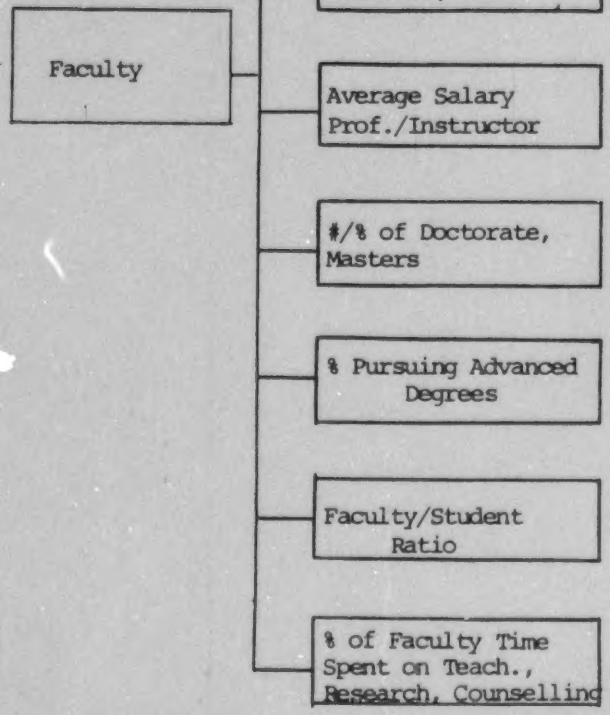
PHELPS-STOKES FUND

Copyright© Satish B. Parekh 1975

Long Range Planning Model

MATRIX II

3. Faculty Goals

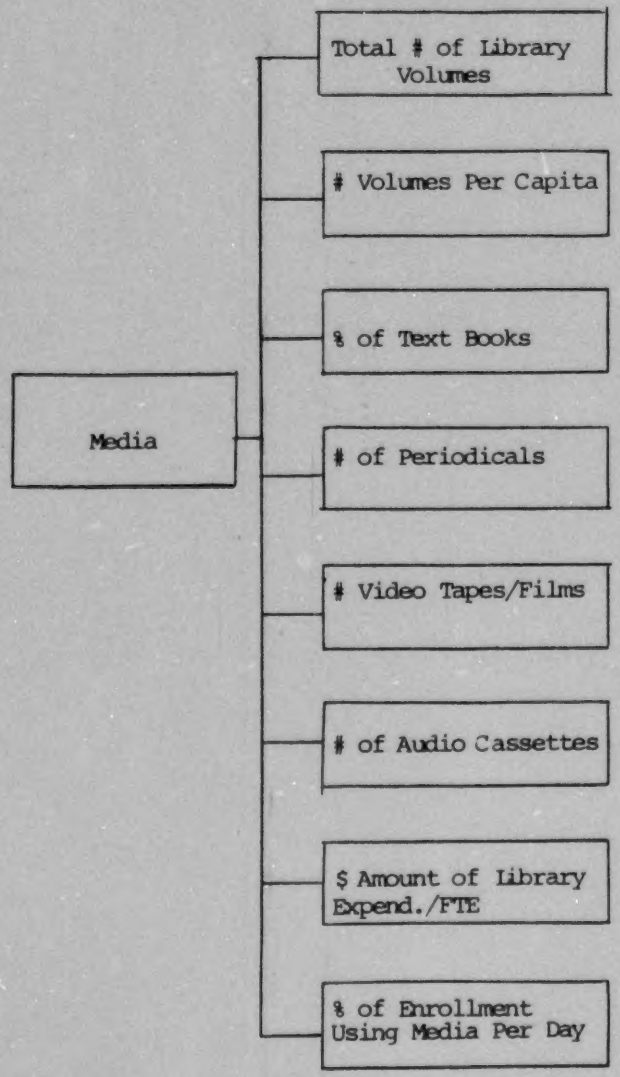

Faculty
Total FTE Faculty
% Full/Part-time Faculty
% By Rank: P, AP, Asst. P., Inst.
Average Salary Prof./Instructor
#/% of Doctorate, Masters
% Pursuing Advanced Degrees
Faculty/Student Ratio
% of Faculty Time Spent on Teach., Research, Counselling

CurrentYr	Year 1	Year 2	Year 3	Year 4	Year 5

Copyright© Satish B. Parekh 1975

MATRIX II

4. Media Goals


Media
Total # of Library Volumes
Volumes Per Capita
% of Text Books
# of Periodicals
# Video Tapes/Films
# of Audio Cassettes
$ Amount of Library Expend./FTE
% of Enrollment Using Media Per Day

Cur. Year	Year 1	Year 2	Year 3	Year 4	Year 5	

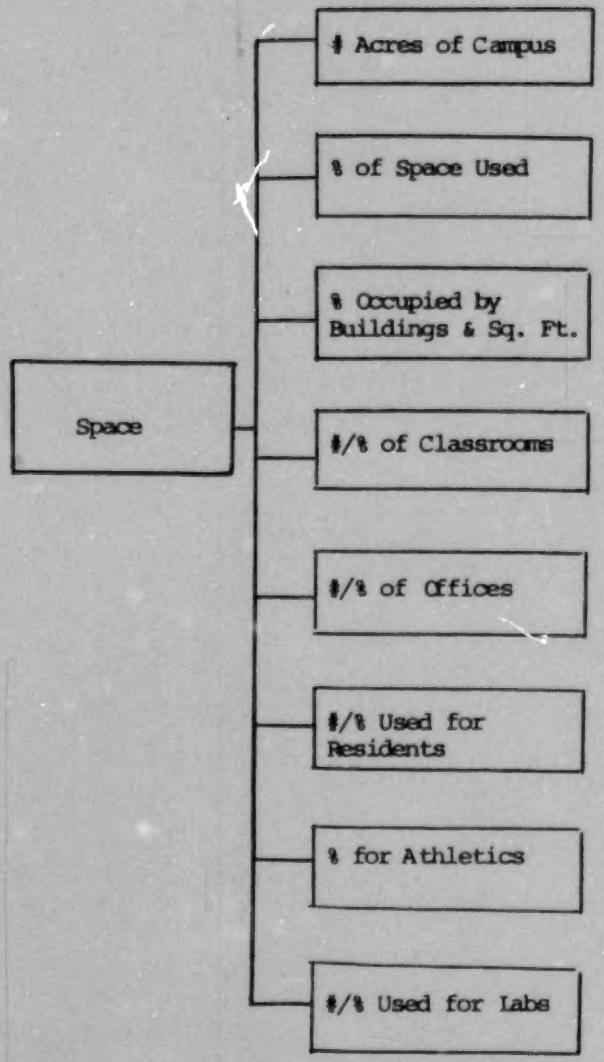
PHELPS-STOKES FUND

Copyright© Satish B. Parekh 1975

Long Range Planning Model

MATRIX II

5. Space Goals



Current Yr	Year 1	Year 2	Year 3	Year 4	Year 5	

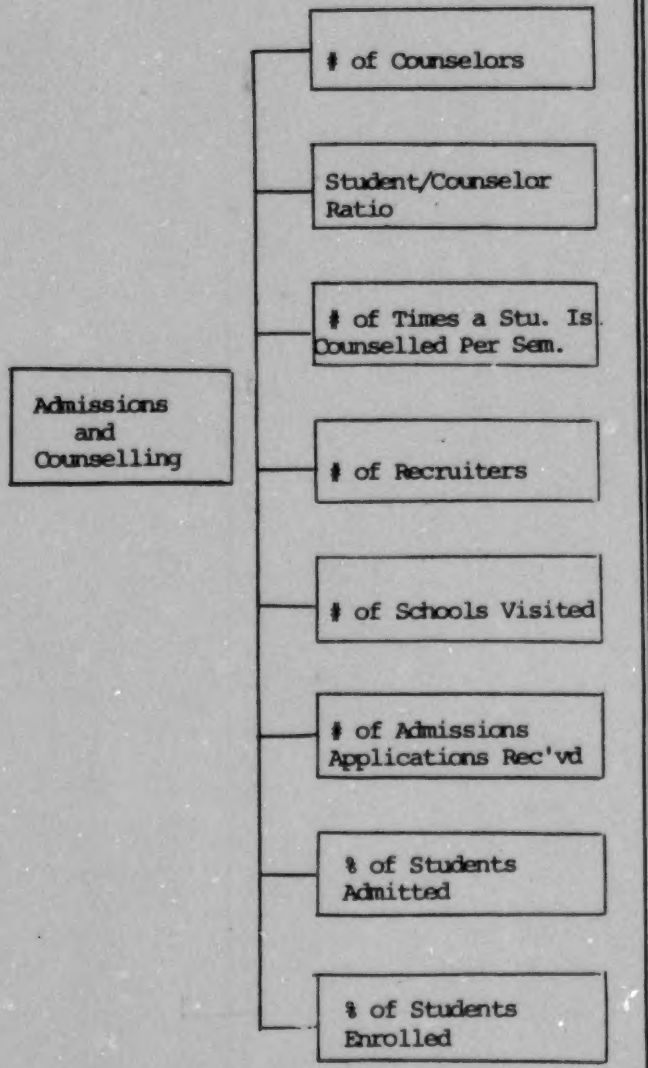
Copyright© Satish B. Parekh 1975

PHELPS-STOKES FUND

Long Range Planning Model

MATRIX II

6. Admissions and Counselling Goals


Admissions and Counselling
# of Counselors
Student/Counselor Ratio
# of Times a Stu. Is Counselled Per Sem.
# of Recruiters
# of Schools Visited
# of Admissions Applications Rec'vd
% of Students Admitted
% of Students Enrolled

Current Yr	Year 1	Year 2	Year 3	Year 4	Year 5	

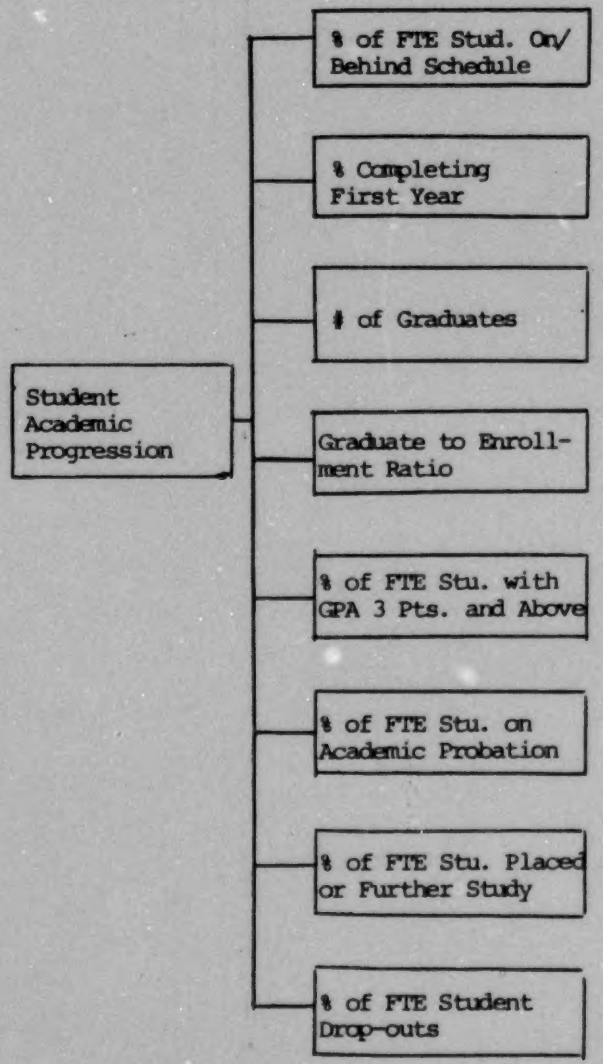
Copyright© Satish B. Parekh 1975

PHELPS-STOKES FUND

Long Range Planning Model

MATRIX II

7. Student Academic Progression Goals


Student Academic Progression
% of FTE Stud. On/ Behind Schedule
% Completing First Year
# of Graduates
Graduate to Enrollment Ratio
% of FTE Stu. with GPA 3 Pts. and Above
% of FTE Stu. on Academic Probation
% of FTE Stu. Placed or Further Study
% of FTE Student Drop-outs

Current Yr.	Year 1	Year 2	Year 3	Year 4	Year 5

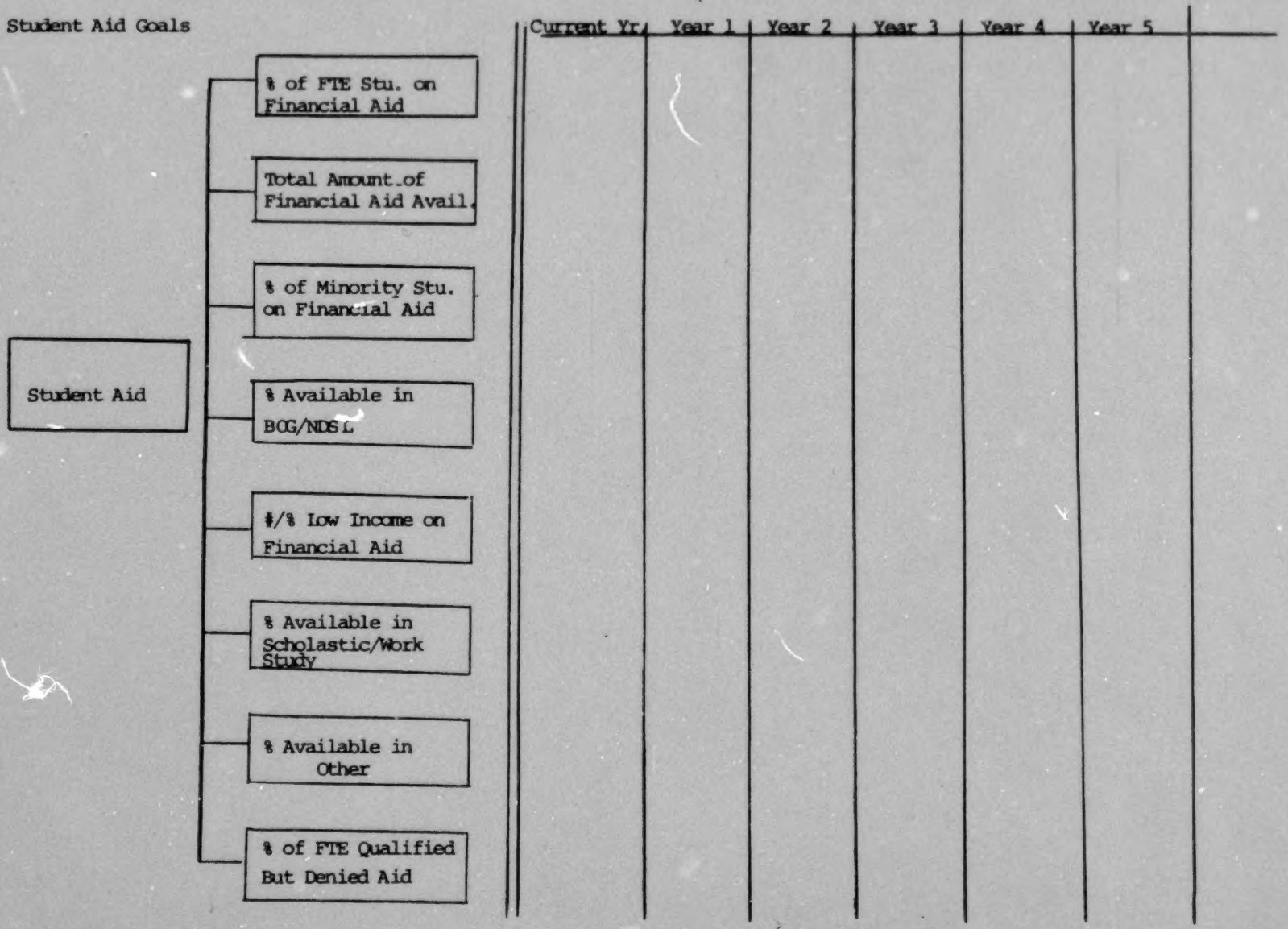
PHELPS-STOKES FUND

Copyright© Satish B. Parekh 1975

Long Range Planning Model

MATRIX II

8. Student Aid Goals


Student Aid
% of FTE Stu. on Financial Aid
Total Amount of Financial Aid Avail.
% of Minority Stu. on Financial Aid
% Available in BOG/NDSL
#/% Low Income on Financial Aid
% Available in Scholastic/Work Study
% Available in Other
% of FTE Qualified But Denied Aid
Current Yr.
Year 1
Year 2
Year 3
Year 4
Year 5

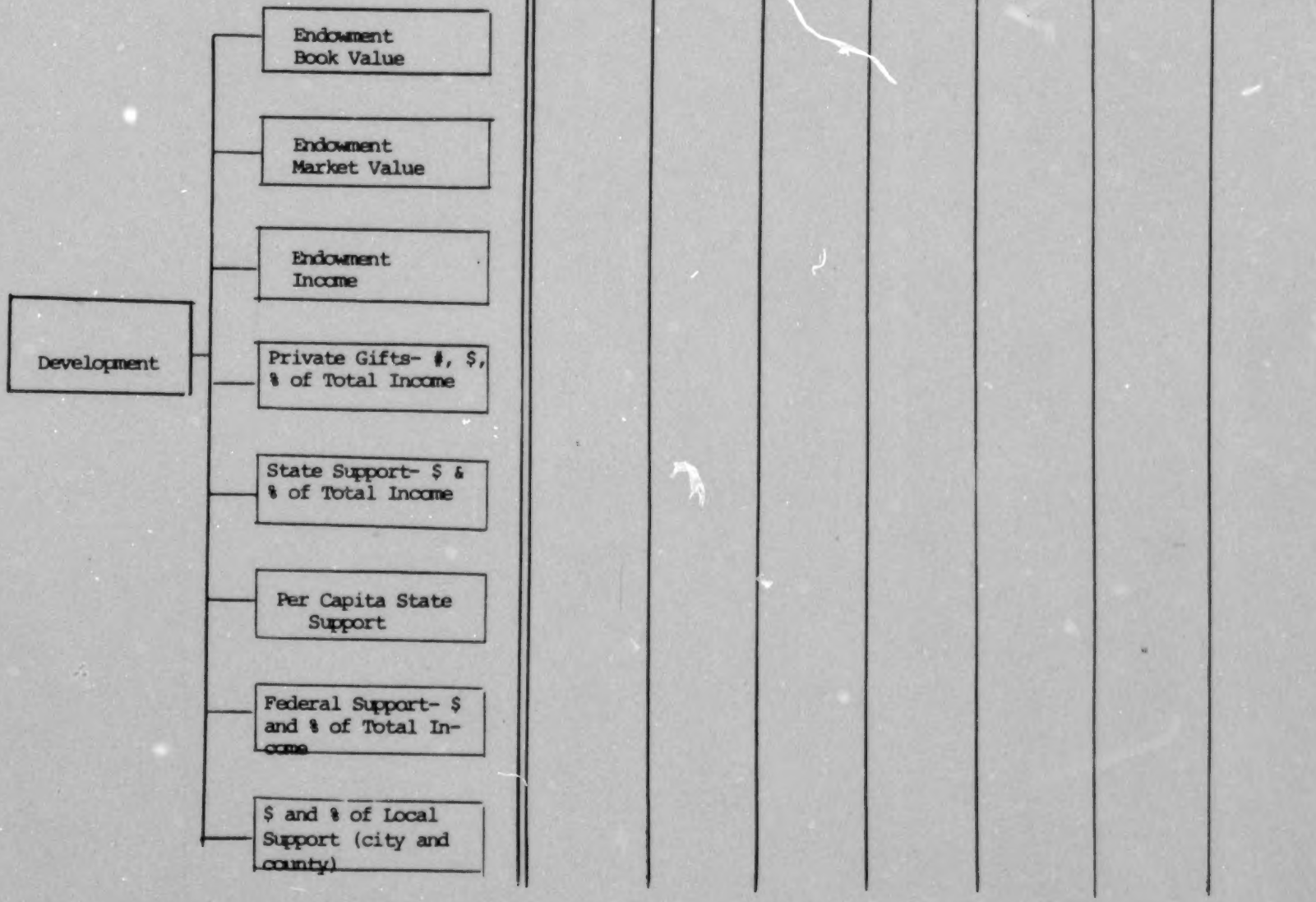
Copyright© Satish B. Parekh 1975

PHELPS-STOKES FUND

Long Range Planning

MATRIX II

9. Development Goals



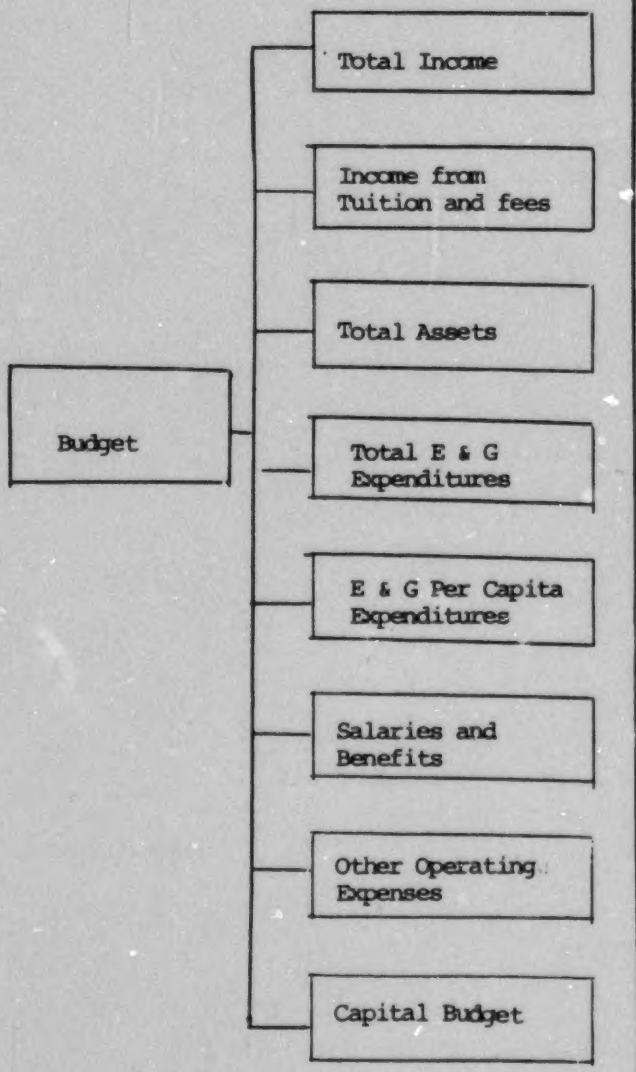
Copyright© Satish B. Parekh 1975

PHELPS-STOKES FUND

Long Range Planning Model

MATRIX II

10. Budget Goals



Current Yr	Year 1	Year 2	Year 3	Year 4	Year 5	

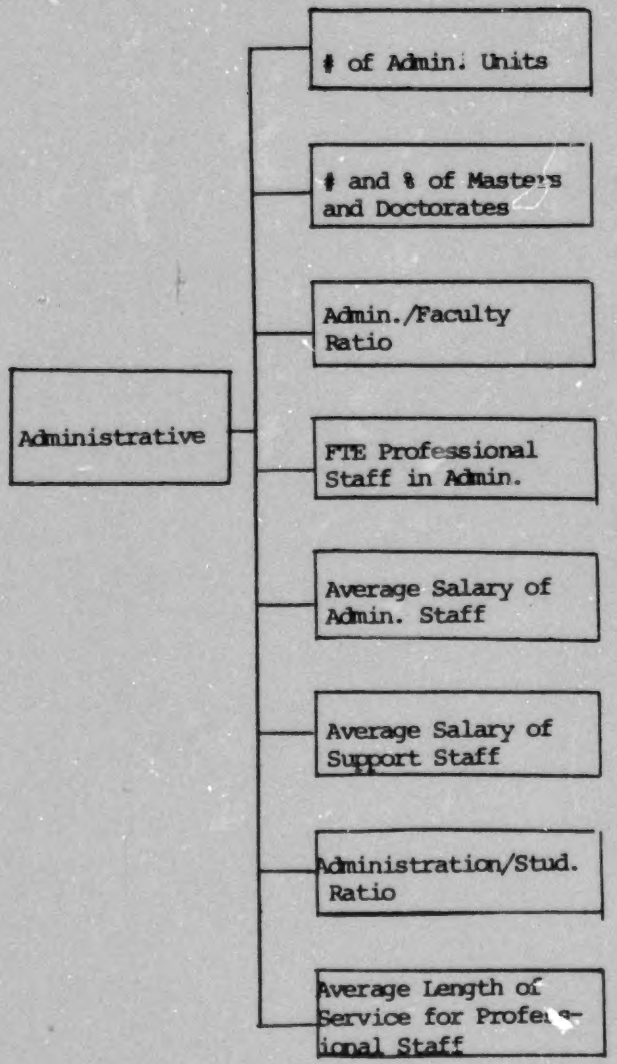
Copyright © Satish B. Parekh 1975

PHELPS-STOKES FUND

Long Range Planning Model

MATRIX II

11. Administrative Goals


Administrative
# of Admin. Units
and % of Masters and Doctorates
Admin./Faculty Ratio
FTE Professional Staff in Admin.
Average Salary of Admin. Staff
Average Salary of Support Staff
Administration/Stud. Ratio
Average Length of Service for Professional Staff

Current Yr.	Year 1	Year 2	Year 3	Year 4	Year 5

Matrix II Element Definitions

I Enrollment Goals

Total FTE Students: Enter the sum of the total number of full-time and FTE of part-time students enrolled, including those working on advanced degrees, undergraduate degrees and non-degree programs. The FTE of part-time students is the total number of credit hours of the part-time students divided by the sum of the normal full-time student load.

% Full/Part Time Students: Report students as full-time if they are enrolled in courses equal to at least 75% of the normal full-time load, including students enrolled in advanced dgree, undergraduate and non-degree programs. Report students as part-time if they are enrolled in less than 75% of the normal full-time load including those enrolled in advanced degree, undergraduate and non-degree programs.

% In/Out of State Students: Enter % of students who are legal residents of the state, and % who are legal residents of other states. Foreign students should be considered in-state.

#/% Low Income Students: Low income is defined as students with family income of $7500 or less per year.

% Residential/Non-Residential: Enter % of students living on and off campus.

% Male/Female Students: Self explanatory.

#/% of Minority Students: Minority refers to racial minority, so even though the majority of your students may be Black they would be reported as minority.

Average SAT or ACT Score: Enter the average Scholastic Aptitude Test or American College Testing Service Test score for the entire student body.

Enrollment Goals (continued)

% of Entering Fresh. in Upper Qt. of H.S. Class Rank: Enter % of freshmen enrolled who were in the top 25% of their high school class.

% of Entering Fresh. in Lower Qt. of H.S. Class Rank: Enter % of freshman enrolled who were in the lowest 25% of their high school class.

% of Grad. of 2 Yr. School: Enter % of students enrolled who are graduates of a 2 year school and students transferred to your school after completing 2 years at another institution.

Tuition and Fee Per Capita: Enter tuition and fees, excluding room and board, books, personal expenses per FTE student.

#/% Enrolled in Compensatory Programs: Enter number and % of compensatory programs that are designed to assist students, especially entering freshmen to make up the minimum qualifications required for a college education at your institution.

#/% Enrolled in Adult Ed. Programs: Enter # of programs offered to the community without admissions standard and the % these courses represent of the course offered.

Enrolled in Non-Credit Courses: Enter the # of FTE students enrolled in courses that are offered for no credit.

II Instructional Program Goals

# of Majors/Minors: Self explanatory.

Acad. Divisions/Departments: Self explanatory.

Grad. Courses/Sections: Enter # graduate courses and sections.

Instructional Program Goals (continued)

% of Reqd. Electives: Enter % of required and elective courses.

# of Credit Hr. Taught Per Semester: Self explanatory.

# of Lab Hours Per Semester: Self explanatory.

GPA Lower/Upper Division: Enter the mean Grade Point average for freshmen and sophomores (lower) and juniors and seniors (upper).

Degrees Offered: Enter the # and type of degrees offered in each academic area.

III Faculty Goals

Total FTE Faculty: Enter the total number of persons who are full-time plus full-time equivalent of part-time persons on the faculty. The FTE of part-time instructional staff is the total number of hours of work of part-time faculty divided by the number of hours of normal full-time instructional load.

% Full/Part Time Faculty: Enter the % of full and part-time persons on the faculty.

% by Rank: P, AP, Ast. P, Inst.: % of faculty who are professors, Assoc. Professors, Asst. Professors and Instructors.

Average Salary of Prof/Inst.: Enter the amounts that represent the mean for a full professor's and instructor's salary for one academic year.

#/% of Doctorate, Masters: # and % of faculty with doctorate degrees and # and % of faculty with masters degrees.

Faculty Goals (Continued)

% Pursuing Advanced Degrees: Enter the % of faculty pursuing advanced degrees.

Fac/Student Ratio: Enter the ratio of FTE faculty to FTE students.

% of Faculty Time Spent on Teach., Res., Counselling: Enter the % of faculty time spent teaching, on research and counselling.

IV Media Goals

Total # of Library Vol.: Enter the total number of different titles of books, etc. in the library.

Vol. Per Capita: Enter the number of titles per FTE students.

% of Text Books: Enter the % that text book titles represent of the total number of titles in the library.

# of Periodicals: Enter the # of periodical titles in the library.

# of Video Tapes/Films: Enter the # of video tape and film titles in the library.

# of Audio Cassettes: Enter the # of different audio cassette titles in the library.

$ Amount of Lib. Expend/FTE: The dollar amount expended for separately organized libraries, both general and departmental, include operating expenses, salaries, wages, et., books, subscriptions divided by number of FTE students. Do not include expenditures for library facility construction or maintenance.

Media Goals (continued)

% of Enrollment Using Media Per Day: Self explanatory.

V Space Goals

Acres of Campus: Self explanatory.

% of Space Used: Of total campus area, enter what % is used.

% Occupied by Buildings & Sq. Ft.: Enter % of space occupied by building and # of square feet it represents.

#/% of Classrooms: Enter the # of classrooms and the % of total square footage of space that classrooms occupy.

#/% of Offices: Enter the # of offices and the % of total square footage of space that offices occupy.

#/% Used for Residents: Enter the # of dormitories and the % of total square footage of space that dormitories occupy.

% for Athletics: Enter % of space used by athletic facilities.

#/% Used for Labs: Enter the # of science and language labs and the % of total square footage of space that labs occupy.

VI Admissions & Counselling Goals

# of Counselors: Enter the total number of persons employed for the specific purpose of counseling, eg., admissions, financial aid, etc.

Student/Counselor Ratio: Enter the ratio of FTE students to counselors.

Admissions & Counselling Goals (continued)

Times Students Counselled Per Semester: Enter the # of times that FTE Students are counselled per semester.

of Recruiters: Enter the total number of FTE persons employed for the specific purpose of recruiting.

# of Applications Received: Enter # of admissions applications received.

# of Schools Visited: Enter # of schools visited during recruiting.

% Admitted: % of applicants admitted.

% Enrolled: Enter % of admitted students who actually enrolled.

VII Student Academic Progression Goals

% of FTE Stu. on/Behind Schedule: Enter % of students who are on and behind a schedule chosen by student & approved by the college.

% Completing 1st Year: Enter the % of full-time and part-time students who successfully completed a sufficient # of course credits to become sophomores. This number should be calculated in the following manner:

$$\frac{\text{No. of Freshmen eligible to become Sophomores}}{\text{Number of Students in Freshman Class}} \times 100$$

Example: $\frac{345}{400} \times 100 = .8625 \times 100 = 86.25$

The digits to the left of the decimal point (86 in the above example) are entered.

Student Academic Progression Goals (continued)

% of FTE Stu. with GPA 3 Pts. & Above: Enter % of FTE students with grade point averages of 3.00 and above.

# of Graduates: Self explanatory.

Grad. to FTE Enrollment Ratio: Self explanatory.

% of FTE Stu. on Acad. Probation: Enter the % of FTE students that are on academic porbation as defined by your institution.

% of FTE Stu. Placed/Further Study: Enter the % of FTE students who were placed in jobs and the % that went on to further study.

% of FTE Stu. Drop-Outs: Enter the % of FTE students who discontinued study prior to the completion of a program of study.

VIII Student Aid Goals

% of FTE Stu. on Financial Aid: Enter the % of FTE students who are receiving any type of financial assistance.

Total Amt. of Financial Aid Avail.: Enter amount available from institutional, federal and private sources specifically earmarked for student aid.

% of Minority Stu. on Financial Aid: Minority refers to racial minority.

% Available in BOG/NDSL: Enter % of financial aid budget available in BOG/NDSL.

#/% Low Income on Fin. Aid: Enter the # of FTE students with family incomes of $7500 or below who are receiving financial aid and the % that they represent of the total numbers of students on aid.

Student Aid Goals (continued)

% Avail. in Scholarship/Work Study: Enter the % of the financial aid budget available in scholarships and college Work Study Program funds.

% Available in Other: Enter % of financial aid budget available from other sources.

% of FTE Qualified but Denied Aid: Enter % of FTE students who qualified for aid but who were denied assistance due to lack of funds.

IX Development Goals

Endowment Book Value: Enter the original or intended endowment carried in the accounting record of the college.

Endowment Mkt. Value: Enter the market value of the institution's endowment fund assets as of the end of the year. Include investment on endowment term-endowment, quasi-endowment (funds functioning as endowment and endowment held in trust by others).

Endowment Income: Enter the amount of all earnings received by the institution from all endowment investments (interest, demands, rents, etc.).

Private Gifts - #, $, % of Total Income: Enter #, amount and % that private gifts represents of the total institution income. Private gifts include contributions from individuals, foundations and other non-governmental sources.

State Support $ & % of Total Income: Enter amount and % that state support represents of the total institutional income.

Per Capita State Support: Enter the amount of state support per FTE.

Development Goals (continued)

Federal Support, $ & % of Total Income: Enter the amount and % that federal support represents of total institutional income.

$/% of Local Support (City/County): Enter the amount and % that local support represents of total institutional income.

X Budget Goals

Total Income: Enter the total income of the institution from all sources.

Income from Tuition & Fees: Self explanatory.

Total Assets: Enter the total amount of institutional assets as shown on your institution's balance sheet.

Total E & G Expenditures: Enter the total amount of education and general expenditures.

E & G Per Capita Expenditures: Enter the total amount of education and general expenditures per FTE student.

Salaries and Benefits: Enter total amount expended for salaries and benefits.

Other Operating Expenses: Enter total amount of operating expenses excluding salaries and benefits.

Capital Budget: Self explanatory.

XI Administration Goals

Self explanatory.

IV. RESPONSIBILITIES

Goals once established, become the operating roadmap for the organization in this stage of the development of the long range plan. Perhaps the most important aspect of goals achievement is that goals filter down through the entire administrative structure. Ideally, an organization should mirror the mission of the institution. In higher education however, the organization traditionally follows the pattern of having four major divisions: Academic Affairs, Student Affairs, Administration and Finance, and Research and Development. What happens relative to the fulfillment of the goals and therefore the mission of the institition is directly dependent on how well the divisions understand what the institution expects from them in specific terms. Even though most instititions have job descriptions for individuals and role definitions for divisions, these expectations usually are not clear, because they are defined with static assumptions rather than with changing needs of the institution.

The long range planning model, therefore, suggests developing the kinds of divisional responsibility statements

that would incorporate achievement of quantitative targets developed through Matrix II. As is outlined in the Institutional Responsibility Matrix III (located at the end of this section), each division has program responsibilities and, in addition, is expected to participate in the achievement of quantitative goals. This participation is based on the function of the division, as well as the impact it has on other institutional divisions. For example, it may be futile for an institution to plan for enrollment growth and make that the sole responsibility of the recruitment staff. The recruitment must be supported by other divisions through predetermined specific actions.

In order that this kind of coordination is assured, the divisions should know in advance what responsibilities they share with other divisions in each of the eleven parameters of Matrix II and which specific goals (elements) in each category they have the leadership role in achieving.

An example of such a responsibility statement for Academic Affairs is located at the end of this section. This responsibility statement includes a selection of quantitative goals from each of the 11 goals areas of Matrix II pertinent to the division of Academic Affairs. Similarly, responsibi-

lity statements should be prepared for the other divisions.

Once the broad goals distribution and coordination take place at the divisional level, each division can further filter that down through its departments. In this manner, each decision-action unit gets tied to other units and to the mission of the institution.

The following steps summarize the development of responsibility statements:

1. Take Matrix II and for each of the 98 elements, determine which administrative division should have primary responsibility for achieving the goal.

2. Based on step 1:

   a) review and update the current organizational structure and assure that it facilitates achievement of goals.

   b) develop responsibility statements specifying the responsibilities that each major division has for achieving the goals outline in Matrix II.

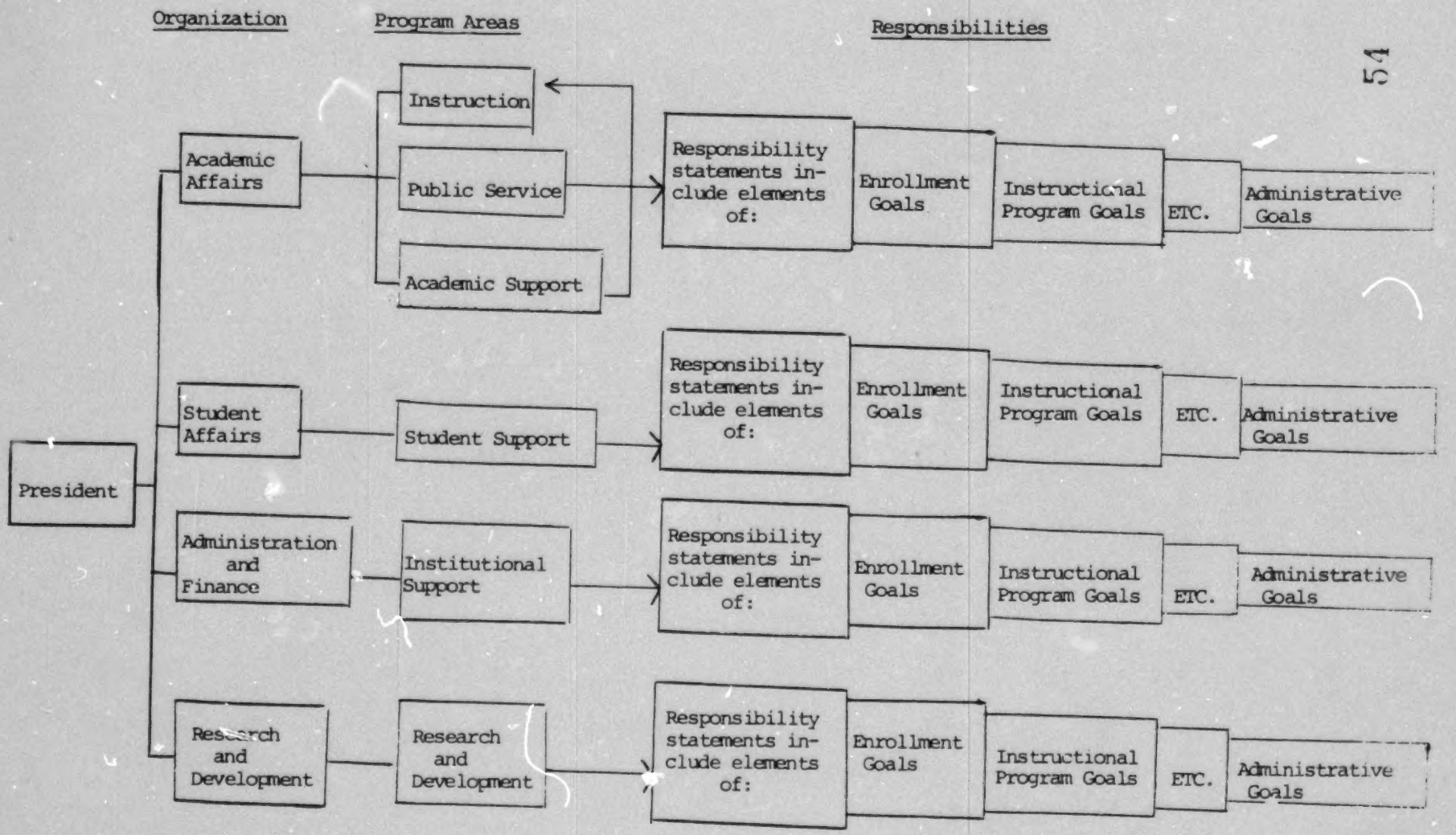
3. Based on the divisional responsibility statement, develop responsibility statements for each office under each division.

The responsibility statements provide the critical link between the goals of the institution and its organizational structure. In so doing, the organizational energies are directed toward identifying and prioritizing those activities

that are meaningful to achievement of institutional goals rather than "business as usual". Matrix III attempts, therefore to match human resources with institutional aspirations.

INSTITUTIONAL RESPONSIBILITY MATRIX III

Copyright © Satish B. Parekh 1975



RESPONSIBILITY STATEMENT FOR VICE PRESIDENT OF ACADEMIC AFFAIRS ACADEMIC YEAR 1975-76
(Based on goals of the Institution as identified in Phelps-Stokes Fund Planning Model Matrix II)

I. Enrollment Goals

1. Review admissions standards in order to permit the college to raise the percent of entering freshmen in upper quartile from 6% to 9%; and lower the percent in lower quartile from 94% to 91% without adversely impacting enrollment goals of the college.

2. Review compensatory programs to increase the percent of student enrollment from 45% to freshmen class to 50%.

3. Review college extension courses to increase enrollment in adult education programs from 300 to 500 students. (Course composition and timing)

4. Review curricula offerings to assist the college to increase its total FTE enrollment from 1500 to 2000 students by the fall of 1976. (Retain full-time/part-time ratio 70:30)

   Make curricula offering more vocational-oriented rather than designed for further study.

II. Instructional Program Goals

1. Review the number of majors and minors to consolidate those with an FTE enrollment of less than 50 students.

   Competency based criteria for all majors.

   Develop graduate programs in two majors.

   Increase percent of electives vs. required for general studies program from 60:40 to 70:30.

2. Maintain present number of credit hours taught. (Addition of courses should be accompained by deletion of other courses)

3. Improve student performance as measured by Grade Point Average from 2.7 to 3.0. (Encourage greater use of media technology, multiple testing, skills acquisition and improve teaching-learning methodology.)

   Maintain present number of degrees offered.

4. Compare our curricula for each major with those of 5 major institutions of comparable size to determine what is currently being emphasized in each field.)

III. Faculty Goals

1. Maintain present level of faculty through Academic Year 1975-76.

   Plan for increase in faculty positions by 10% for Academic Year 1976-77.

   Request resumes of at least five prominent individuals currently teaching in your field that could be interested in each college.

2. Fill faculty vacancies in a manner that would improve the ratio of doctorate to master's from 40:60 to 42:58.

IV. Media Goals

1. Review the adequacy of library holdings by majors.

2. Allocate resources to those areas where inadequacies are most prominent.

3. Review the utilization of library to improve the usage from 10% to FTE per day to 15%.

4. Review the video and audio collection by majors.

V. Space Goals

1. Review schedules to better utilize classroom spaces for instruction and college extension programs.

2. Review schedules to better accommodate working students.

VI. Admissions and Counseling Goals

1. Post faculty office hours for each faculty member in a central place for student accessibility. (Alphabetically, as well as by departments)

2. Institute faculty participation in recruitment activities (One faculty member per division to be assigned 3 hours per week in spring semester for recruitment activity for subsequent fall semester.)

VII. Student Academic Progression Goals

1. Relate compensatory programs to the improvement of percent completing first year from 60% to 70%.

2. Review academic programs where percent of students on academic probation exceeds 3% of those enrolled in those areas.

3. Evaluate the student dropout rate by majors to determine the possible causes. The goal is to reduce the dropout rate by 5%.

VIII. Student Aid Goals

1. Cooperate with administration and finance in reducing accounts receivables from students.

IX. Development Goals

1. Encourage development of at least one fundable proposal by department.

2. Review periodically contacts with funding agencies, both private and public.

3. Coordinate publications (catalogue, bulletin, etc.) to reflect similarity of purpose for various academic programs.

4. Participate in fund-raising programs.

X. Budget Goals

1. Prepare departmental budgets to reflect expected outcomes.

2. Monitor expenditures to parallel planned activities.

3. Stay within the budget.

XI. Administration Goals

1. Provide information on the status of goals achievement.

Implement the plan.

Strengthen academic affairs in a manner that strengthens the college.

Review leadership qualities in departmental management.

V. ACTIVITIES

As the responsibilities are assigned to the divisions of the college for achievement of annual goals, an integral part of long range planning is a time-table of what would be required in action terms by each division and the offices under it. Such is the case because a modern educational institution is more like the interior of a telephone exchange, than the traditional, institutional, pyramidical structure. The effectiveness with which it achieves its goals is a function of how the required activities are foreseen, sequenced and dovetailed, and how messages get across, triggering modifications that adjust deviations from the predetermined course. All of these must happen within the overall context of institutional goals. The institutional challenge, therefore, is to achieve a dynamic equilibrium between the program emphasis on the one hand, and organizational structure on the other.

What is required by a college at this stage of planning is to:

1. perceive all activities ahead of time so that important things do not remain undone inadvertently or by default.

2. determine just what activities contribute to furthering the institutions's program emphasis and which ones are just the "spinning the wheel" variety.

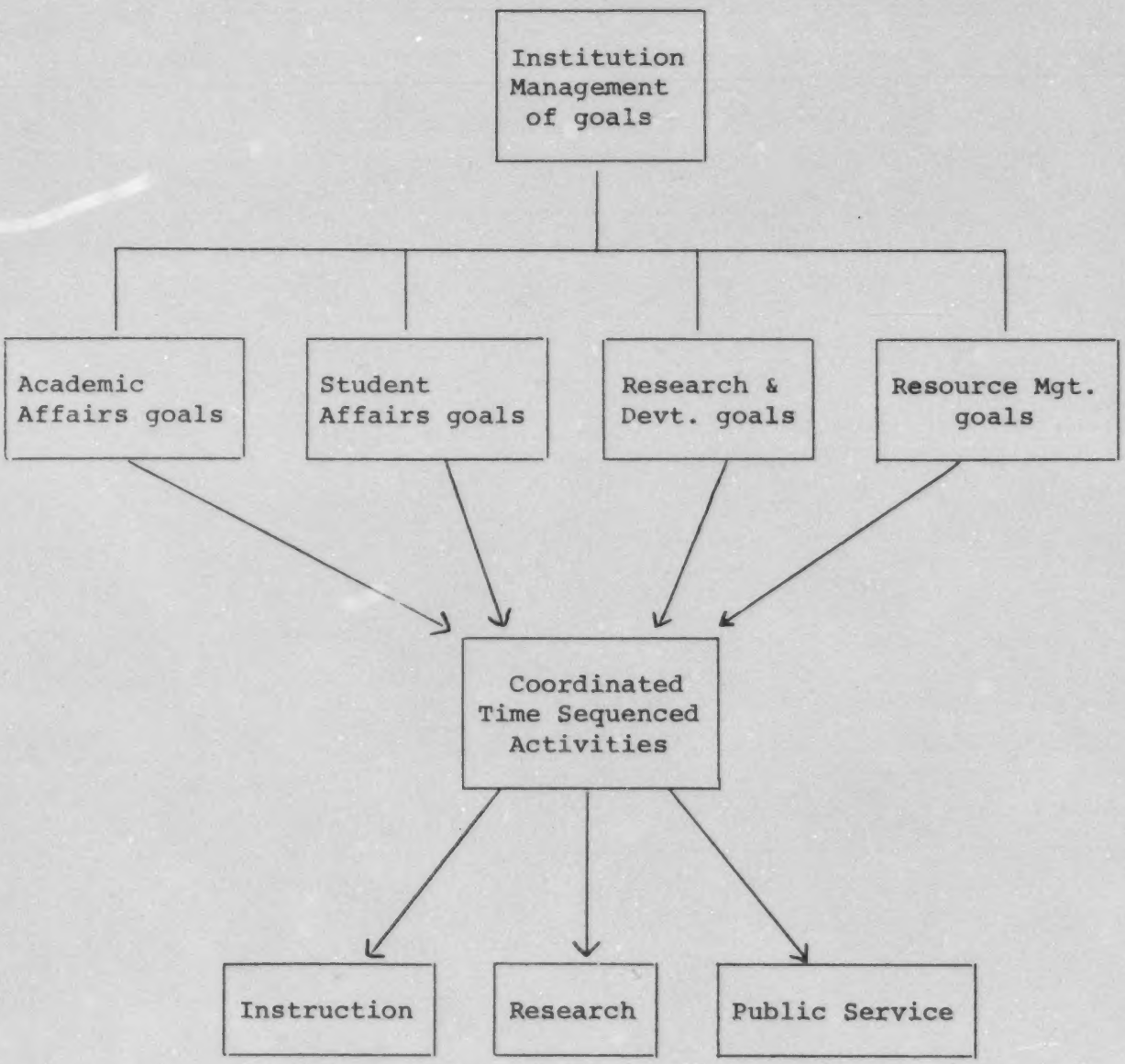
3. determine what impact timing of certain activities has on other units that depend on those for timely completion of their activities,

4. determine where the resources are utilized in terms of manpower, money and materials, and

5. determine what trade-offs must be made between what activities for better alignment of the unit with programs.

The process enables each decision-action unit (offices, departments, divisions) to translate goals for which it is responsible into a series of well thought-through and coordinated tasks that can be time-sequenced and monitored so that deviations can be corrected in time for achievement of specific goals. Additionally, the format enables the user to view at a glance a 12 month list of what each office has determined must be done. The effort forces a degree of interchange of information about activities between offices that assures orderly, efficient execution which is critical to making long range planning a living document. By making the cross-ties more obvious, the plan promotes a greater commonality of action. The projected activities for the year, for the achievement of goals, simplifies the day to day decision making. Each administrator is goals oriented, and is knowledgable of the action for each office's operations. Activities stand at the center of people on the one hand and achievement of institutional mission on the other as shown in Chart II.

CHART II



Copyright © Satish B. Parekh 1975

The activities plan is divided into three parts.

Matrix IV is designed to provide a panoramic view of the institution by laundry listing the major activities of the institution for a one year period which then enables the major institutional divisions to identify from that list their activity responsibilities, both independently and in conjunction with one another.

Matrix IV-A, the Monthly Activities Calendar, takes the general activities selected in Matrix IV and charts those activities by month identifying the pre-activity and post-activity tasks which are necessary for accomplishment of the divisional responsibilities.

Matrix IV-B, the Person/Task/Time-Frame, outlines for the head of each office and/or department under the division which specific divisional activities his unit is responsible for achieving for the year.

As the divisional activity schedules are developed, it is vital that they reflect the institutional goals in Matrix II, and especially divisional responsibilities outlined in Matrix III. The future directions reflected in the eleven institutional goals areas must become the basis on which the institution and its divisions plan their activities from year to year.

For example, if Matrix II indicates that in a given year enrollment will increase by 100 students, the Academic

Affairs division will have to anticipate and plan for that impact which may require changes or modifications in the division's activities and responsibilities for the one year period.

In order to further clarify the importance of activities, the activity of registration for the division of Academic affairs is provided as an example. Matrix IV, its supplements and the example are presented at the end of this section.

At this stage of planning, the activities emanating from responsibilities are integrated with those activities which are standard for the normal operation of the institution, and which are found in the institutional calendar. One of the efforts of long range planning is to normalize the routine in a manner that not only gets it done but releases sufficient time for the performance of goals oriented activities. Without this kind of a structural format, implementation of goals would be overtaken by the demands of day to day operations.

PHELPS-STOKES FUND

Long Range Planning

MATRIX IV

☑ ACADEMIC AFFAIRS ☐ STUDENT AFFAIRS ☐ ADMIN.& FINANCE ☐ RESEARCH & DEVELOPMENT

Copyright © Satish B. Parekh 1975

	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June
Federal Applications												
Recruiting												
Fin. Aid Applications												
Transfer Admissions												
Freshman Admissions												
Scholarship Awards	X	X			X	X					X	X
Loan Awards			X				X					X
Pre-registration				X				X				
Registration												
Late Registration												
Classroom Scheduling												
Acad. Advisor Appts.												
Term Bill Distribution												
Freshman Orientation												
Freshman Testing												
Dorm Personnel Appts.												
Dorm Room Assignments												
Course Withdrawals												
1st Sem. Grade Reports												
Mid-Yr. GPA Calculations												
2nd Sem. Grade Reports												
Final Yr. GPA Calculations												
Student Teaching Decisions												
Final Exams												
Rank in Class Determinations												
Honors Determinations												
Graduation												
Faculty Appointments												
Faculty Orientation												
Faculty Evaluations												
Faculty Promotions												
Faculty Meeting Schedules												
Faculty Office Assignments												
Faculty Course Assignments												
Admin. Staff Appointments												
Admin. Staff Evaluations												
Support Staff Appointments												
Support Staff Evaluations												
New Course Determinations												
Budget Notifications												
Annual Reports												
Purchase Requisitions												
Budget Reconcilliations												
Student Payroll Preparation												
Student Paycheck Distribution												
Employee Payroll Preparation												
Employee Paycheck Distr.												
Meal Scheduling												
Federal Reports												

MATRIX IV-A
Monthly Activities Calendar

☐ Academic Affairs ☐ Student Affairs ☐ Admin. & Finance ☐ Research & Development

JULY

SUN	MON	TUES	WED	THUR	FRI	SAT
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

AUGUST

SUN	MON	TUES	WED	THUR	FRI	SAT
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24/31	25	26	27	28	29	30

SEPTEMBER

SUN	MON	TUES	WED	THUR	FRI	SAT
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

Monthly Activities

- Order books
- Make library orders
- Order academic supplies
- Make faculty furniture and equipment orders
- Process course syllabi
- Order registration materials

Monthly Activities

- Make faculty assignments for registration
- Make academic advisor assignments
- Determine dept. class sizes
- Finalize class time scheduling
- Make classroom assignments
- Schedule departmental tests
- Make faculty course assingments

Monthly Activities

- Determine registration site
- Re-assignment of faculty
- Faculty time scheduling
- Finalize drop/add course procedures
- Final check of student enrollment lists

Copyright © Satish B. Parekh 1975

MATRIX IV-A
Monthly Activities Calendar

/ Academic Affairs / Student Affairs / Admin. & Finance / Research & Development

OCTOBER

SUN	MON	TUES	WED	THURS	FRI	SAT
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

Monthly Activities

- Generate student attrition status reports
- Develop budget implications report by department

NOVEMBER

SUN	MON	TUES	WED	THURS	FRI	SAT
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23 30	24	25	26	27	28	29

Monthly Activities

- Make class attendance checks
- Send final notifications for course dropping deadlines

DECEMBER

SUN	MON	TUES	WED	THURS	FRI	SAT
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

Monthly Activities

- Circulate grade reports
- Do mid year academic credits checks

Copyright © Satish B. Parekh 1975

MATRIX IV-A

Monthly Activities Calendar

☐ Academic Affairs ☐ Student Affairs ☐ Admin. & Finance ☐ Research & Development

JANUARY							FEBRUARY							MARCH						
SUN	MON	TUES	WED	THUR	FRI	SAT	SUN	MON	TUES	WED	THUR	FRI	SAT	SUN	MON	TUES	WED	THUR	FRI	SAT
				1	2	3	1	2	3	4	5	6	7		1	2	3	4	5	6
4	5	6	7	8	9	10	8	9	10	11	12	13	14	7	8	9	10	11	12	13
11	12	13	14	15	16	17	15	16	17	18	19	20	21	14	15	16	17	18	19	20
18	19	20	21	22	23	24	22	23	24	25	26	27	28	21	22	23	24	25	26	27
25	26	27	28	29	30	31							28	29	30	31				

Monthly Activities

. Second semester registration (same procedure as before)

Monthly Activities

. Do final checks for mid-year graduates

Monthly Activities

. Do mid-year transcript entry checks

. Check records for recommendations

Copyright © Satish B. Parekh 1975

MATRIX IV-A

Monthly Activities Calendar

☐ Academic Affairs ☐ Student Affairs ☐ Admin. & Finance ☐ Research & Development

APRIL

SUN	MON	TUES	WED	THUR	FRI	SAT
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

MAY

SUN	MON	TUES	WED	THUR	FRI	SAT
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23/30	24/31	25	26	27	28	29

JUNE

SUN	MON	TUES	WED	THUR	FRI	SAT
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

Monthly Activities

- Revise and edit summer school forms
- Send forms to printer

Monthly Activities

- Send out summer school bulletins
- Send out summer school applications
- Prepare for summer school registration
- Assign personnel

Monthly Activities

- Check on final preparations for registration site
- Determine staff and faculty summer schedules

Copyright © Satish B. Parekh 1975

MATRIX IV-B
Person/Task/Time-Frame

Academic Affairs Division: Departmental Assignments Office/Dept. of Sociology

	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APRIL	MAY	JUNE
1. Make dept. faculty assignments	X					X					X	
2. Determine dept. course offerings		X				X					X	
3. Make dept. purchase orders	X	X	X	X	X	X	X	X	X	X	X	X
4. Allocate dept. office and classroom space		X	X			X	X				X	X
5. Review dept. majors and minors (students)		X	X			X	X				X	X
6. _____												
7. _____												

Copyright © Satish B. Parekh 1975

VI. RESOURCE PLAN

The activities plan must be accompanied by comparable resource acquisitions and allocation plans in order for the long range plan to be fully operationalized. One of the critical probiems for many institutions is the manner in which information is made available to the decision makers regarding where they stand budgetwise. Ordinarily, what is known is limited to how much money has been spent by the institution and its major departments by line item such as personnel, equipment and so forth. In some instances, the expenditures are projected through the end of the fiscal period to determine whether the institution will remain within budget constraints at the prevailing level of spending; or budgets are modified on the basis of fall or spring enrollments.

What is generally not known, however, is whether or not the dollar expenditures at any given point in time, in fact, have resulted in completion of those activities that are important for the operations and achievement of the pre-determined goals of the institution. This is because in the majority of cases, the stream of dollar expenditures tends to flow independently of the program requirements stemming from the pre-determined goals. Administrative overloads at certain points in such areas as purchasing, accounting, storage,

accounts payable, and so forth, reflect in large part, the lack of identification of appropriate lead times required between expenditures of dollars and achievement of specific tasks.

For example, it is a common experience that academic supplies needed for the entire academic year are ordered at mid-year and arrive when the year is about to end. Furniture and equipment for new personnel is seldom available when the individuals report to work. When budget surpluses become visible at the end of the year, frantic procurement activities take place to exhaust the dollar balance by whatever means institutional policies will permit. New library books often do not arrive in time for the students who are required to read them. Administrative units frequently get "snowed under" unpredictably because some part of the college is trying to "catch up" on things that were not routinely taken care of. Examples such as these, characterize college management as "hind-sighted" and "crisis-oriented", a label that it does not deserve.

Institutions with a long history of operations ought to be able to register students without trauma, hire faculty without having them miss paychecks, provide students with the tools of learning at the time they are needed, and generally operate in a normal predictable fashion.

The role of budget in long range planning is to provide adequate resources for the achievement of the institutional mission. Within the annual context, the budget should be utilized in the following three ways:

1. It should be developed so as to facilitate achievement of annual institutional goals,
2. It should facilitate allocating budget dollars to divisions on the basis of their responsibilities for goals achievement, and
3. It should distribute budget dollars on the basis of a twelve month spending plan.

For most institutions, budget is a given set of dollars overwhich the institution has limited flexibility. These dollars, however, can be allocated at the beginning of the year in a manner that makes provisions for achievement of goals. This might necessitate reducing the allocation for one area versus another. Once the goals achievement has been incorporated into the budget provisions, the divisional distribution of resources must reflect the divisional distribution of responsibilities as outlined in Matrix III.

The divisions must distribute their budgets on a monthly basis paralleling their activities schedule. Aligning flow of expenditures with the flow of activities is one important tool for reducing crisis-oriented management.

Matrix V-A, the Budget Allocation Sheet, provides the institution and its divisions with a mechanism for distributing its program dollar expenditures over a twelve month per-

iod in a manner that would parallel the monthly activities plan. The distribution should reflect the peaks and lows of activities and goals achievement. For example, the item of salaries would most probably be distributed evenly over a ten or twelve month period, while the expenditures for instructional supplies would be concentrated in periods prior to the opening of academic sessions.

Matrix V-B, the Budget Analysis Sheet, is an instrument that permits the institution and its divisions to monitor that plan by comparing expenditures and fiscal committments with the estimated targets. For example, if the college has determined that during the first fiscal quarter, 20% of the allocated resources should be expended to permit orderly opening of the school year, Matrix V-B would pinpoint deviations that would indicate, either that the activities required are not taking place or that they are costing more than anticipated. These activities may include hiring of individuals, purchasing of goods and services, or renovation and painting of buildings. Without an organized attempt to parallel dollars with the activities for which resources are appropriated, the budget might be expended without achievement of the goals of the institution.

Recent efforts by institutions to incorporate program budgeting and to relate budgets to achievement of program results have added a new dimension to the meaning of fiscal

management. No longer is fiscal management considered the sole responsibility of the fiscal office. Within the long range planning framework, resource allocations are within the context of achievement of institutional mission. The budget, therefore, becomes an integral part of the process by which long range planning becomes the daily operating guide for every individual employed by the institution.

PHELPS-STOKES FUND

Long Range Planning Model

MATRIX V-A

BUDGET ALLOCATION SHEET

☐ Total Institution ☐ Academic Affairs ☐ Student Affairs ☐ Research and Development ☐ Administration and Finance

Bud. Line No.	BUDGET ITEM	TOTAL	JULY	AUG.	SEPT.	OCT.	NOV.	DEC.	JAN.	FEB.	MARCH	APRIL	MAY	JUNE

Copyright © Satish B. Parekh 1975

MATRIX V-B

BUDGET ANALYSIS SHEET

☐ Total Institution ☐ Academic Affairs ☐ Student Affairs ☐ Research and Development ☐ Administration and Finance

Budget Item	Budget Total		July	Aug.	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	March	April	May	June
		Budget Y-T-D												
		Expenditures Y-T-D												
		Committed Y-T-D												
		Difference Y-T-D												
		Budget Y-T-D												
		Expenditures Y-T-D												
		Committed Y-T-D												
		Difference Y-T-D												

Copyright © Satish B. Parekh 1975

VII. EVALUATION

No planning model is complete without inherent evaluative capabilities. The present model provides for evaluation at two inter-related levels.

At the first level, because each part of the plan is developed in specific quantitative terms that are measurable, the evaluation process is simply one of monitoring progress against pre-determined results. Corrective actions are taken through a monthly review of projections, activities, and expenditures. Any deviations from the plan trigger adjustments through a speeding up or slowing down to come out on target at the end of the year within the context of inter-related goals.

The second level defines evaluation as refinement and is used to determine to what extent the results that are achieved demonstrate a need to modify the mission and goals of the institution in order to make them more realistic.

Because of the matrix configuration of this model, both types of evaluation can take place concurrently with each other and simultaneously with the implementation, thus sharpening the focus and correcting the inconsistencies for the institution. In both cases, evaluation is based on the output and an examination of the difference between what was

expected versus what actually happened. The difference, theoretically, may have been caused because of the malfunctioning of process, inadequate input or a combination of the two.

If the evaluation points out that the primary problem concerns process, the long range planning model would suggest corrective actions to be focused on:

- organization
- activities
- resources.

The institution under such circumstances must critically examine:

1. whether the institution is properly organized and whether the goals have been adequately converted into understandable statements of divisional responsibilities;
2. whether the divisions have identified and dovetailed those activities that they must conduct in harmony with other segments of the institution; and
3. whether appropriate resources (both human and fiscal) have been allocated to permit the divisions to carry out essential activities required for goals achievement.

Most of the process oriented problems can be addressed by an institution within the year in which discrepancies become evident. The important evaluation concern is how early in the year the deviation can be detected, and the eventual outcome projected so that the corrective response can be taken in time to return to the pre-determined course. The

long range planning model provides evaluation in this context with predictive capability. Evaluation is not based on what has happened alone, but what must be done now and in the immediate future to come out on course at the end of the year. Ususally, the corrective actions needed are limited to re-allocation of resources and adjustment in the time-frame.

The long range planning model provides the institution with another, and qualitatively different kind of evaluative capability. This pertains to the review of the input on the basis of the difference between predicted and actual outcome. Here, the changes required are of a far more fundamental nature than in the previous category. Implications of the decisions have long range significance and may affect the character and direction of the institution. Changes in the input require alterations of the mission statements, and or, the goals. The genesis of input alterations could be in the abrupt changes in the environmental assumptions upon which mission and goals are based. Another possibility requiring input changes could be the over or understatement of institutional capabilities that were assumed when the mission and goals were formulated.

The institution must be constantly on guard to assure itself that its mission is valid in the present and future

context of higher education and society. Otherwise, it might become results-oriented to a purpose or a mission that will no longer be valid.

Predicting environmental changes is a difficult task. Decidedly more difficult, is the ability to foresee the future of educational technology, educational content, and educational purpose. These uncertainties require constant updating of the assumptions on which the plan is based because all plans die of obsolescence unless evaluation constantly revives them.

VIII. CONCLUSION

The purpose of this long range planning model is that it should be used daily to advance the institution on its pre-determined course. A plan that remains unutilized is useless. To assure implementation of the plan, an institution should move forward in a number of ways.

The plan must be thoroughly internalized which means that it must be developed through the participation of the faculty, students, and administration. At every stage, an attempt must be made to arrive at a common perception about the institution's mission and strategies to fulfill it. Depending on the size of the institution, the participation of the community may be direct or through appropriate committees. In any case, the preparation of a plan must be a unifying experience.

Once the plan has been developed, it should be distributed throughout the offices and departments on campus. The matrices should be available on every desk so that all individuals are working from the same data base. Wherever ambiguities exist, training sessions should be held for every unit of the institution to clarify them.

The plan as a "here and now" document, is a way of life and should be included on every agenda of meetings. Where

the institution stands, where it is headed, how far it has come, and what needs to be done now to maintain momentum, become the central issues of everyone's concern.

The results of the actual outcomes, whether positive or negative, must become a central part of the campus information system. Feedback is a crucial element in planning and must not be overlooked. Of equal importance is the manner in which feedback takes place. An understanding of what has happened and what implications that has for shifting the institutional gears is extremely important. This must be done in such a manner that the institution does not become lost chasing details but can grasp the aggregate impact that the details reveal.

Planning not only involves breaking the institutional "gestalt" down into specific activities but it also involves synthesizing the actual performance of those activities in terms of their impact on the "gestalt". It is the function of the feedback mechanism to permit the institution to do this in a manner that evaluation becomes action rather than information oriented.

A plan is only as good as the commitment of the people who implement it. That commitment must be nourished by helping to create the perception that the plan is a tool rather than a threat to individuals. This requires an attitude on the part of management that takes into consideration

limitations of the plan rather than limitations of people. People must implement the plan, but the plan must utilize their strengths, rather than heighten their weaknesses.

Planning is permanent; a plan is not. If a plan is not generating the anticipated results, it should be modified or discarded so that one that does work can emerge. The model in this monograph is an evolving one. At the time of this publication, 18 colleges and universities are engaged in implementing it in its totality. Their experiences will aid in sharpening and further refining it.

Despite its imperfections, however, it is a tool that can help an institution to think through a mission from its concept through the effort needed to make it a reality. In addition, it can help to unite individuals into a team of persons who are not just looking at each other, but also looking in the same direction.

In summary, the long range planning model outlined in this publication has several basic advantages for the institutions that will implement it. These are also the outputs of the long range plan. Some of them are listed below:

- LRP provides a basis for management decisions.
- LRP summarizes the profile for the institution in quantitative terms.
- LRP makes it possible to make specific assignments to organizational units and individuals.

- LRP makes evaluation possible in objective terms and simultaneously with implementation.

- LRP provides a commonality of understanding about the mission and goals of the institution and the strategies to implement them.

- LRP helps direct energies away from the non-essential to the essential activities.

- LRP encourages better allocation and utilization of resources.

- LRP assists in generating funds by strengthening the institutional case with granting agencies, both governmental and corporate.

- LRP helps assure survival and growth of the institution.

- LRP leads to team building.

ABOUT THE AUTHOR

Satish B. Parekh is Senior Director, Phelps-Stokes Fund, Management Development Program and Long Range Planning/Comprehensive Management Systems. Dr. Parekh has had direct involvement in the management of higher education institutions over the past decade. He was Director of Management and Finance at Morgan State College and Vice President of Administration and Finance at Federal City College and Washington Technical Institute. He has also been a professor of management at five leading institutions in the United States and abroad. He came to higher education with extensive planning and management experience through his affiliation with the National Industrial Conference Board, Inc., and the First National City Bank of New York. Dr. Parekh has published a book entitled "Management Systems Inventory for Institutions of Higher Education" and articles in professional journals and is a consultant to academic institutions, corporations and commercial banks. He received his B. A. from the University of Bombay, and the M. A. and Ph.D. in Economics, Finance and Management from New York University with the University Founders Award for the highest scholastic achievement.